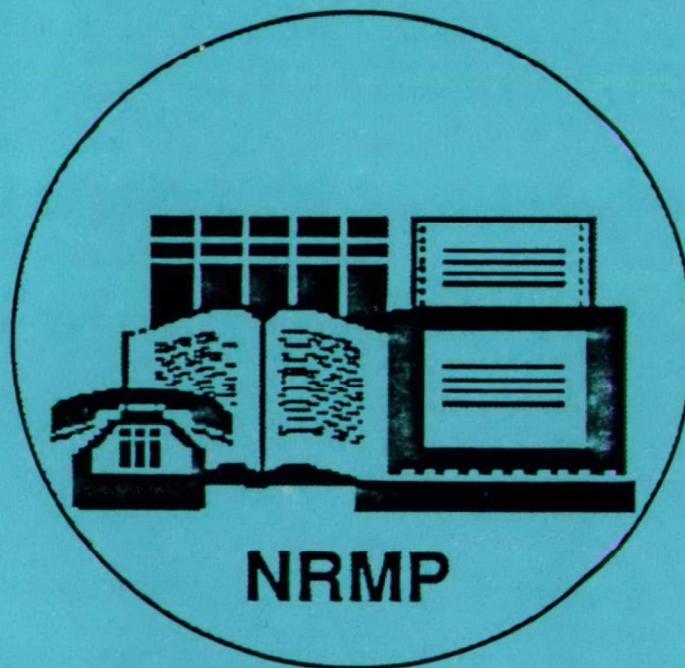




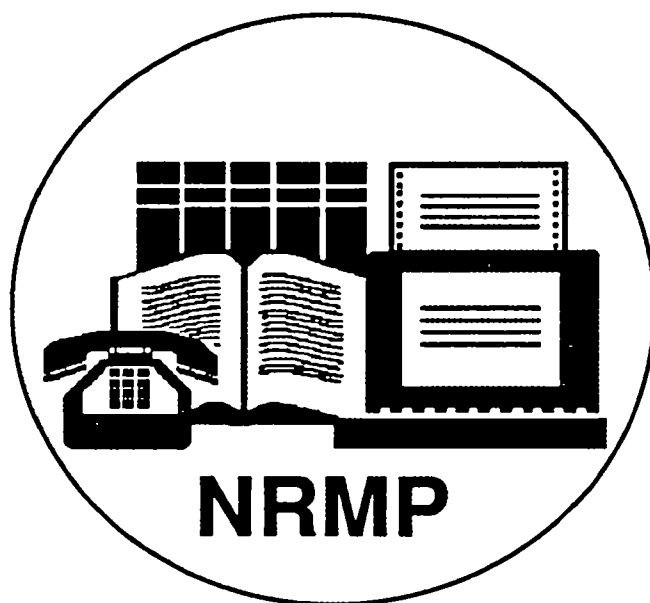
Records Management Series

Using The Federal Records Center A Guide For Headquarters Staff



Records Management Series

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**USING THE FEDERAL RECORDS CENTER
A GUIDE FOR HEADQUARTERS STAFF**

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INTRODUCTION

This guide explains the role of the Federal records center (FRC) operated by the National Archives and Records Administration and what the FRC can do for you as a program manager. It provides a detailed description of the processes and procedures to be followed when:

- Retiring records to the FRC
- Retrieving records from the FRC
- Approving the final disposition of records

This publication also describes the role of the Agency's Headquarters Records Management Program in retiring records to the FRC, and what assistance the Headquarters Records Officer can provide. The Headquarters Records Management Program is part of the Information Management and Services Division of the Office of Information Resources Management. The Division is responsible for overseeing the Agencywide records management program including planning, directing, and organizing the Agency's records management program; developing Agency records management policy and guidance; providing records management training; developing retention and disposition requirements for all Agency records; and providing assistance to Headquarters programs in managing, maintaining, retiring, and retrieving Agencywide records.

These procedures have been up-dated to provide Agency Headquarters personnel with current instructions consistent with guidance from the Federal records center. Any questions should be directed to your office's Records Management Coordinator or the Headquarters Records Officer (382-5912).

AN OVERVIEW OF THE FEDERAL RECORDS CENTER AND ITS SERVICES

What is the Federal Records Center (FRC)?

The National Archives and Records Administration operates a system of Federal records centers (FRCs) for the economical storage of and access to noncurrent records of the Federal government. This governmentwide program is authorized by 44 U.S.C. 2903, 2907, and 3103. Agency Headquarters offices can use the FRC located in Suitland, Maryland (also known as the Washington National Records Center), to store noncurrent, inactive, or permanent records pending their ultimate disposition in accordance with Agency Records Disposition (Control) Schedules.

Why Use the FRC?

The FRC is specifically designed and equipped to store records in an efficient and economical manner saving both space and money. Five times as many records can be stored per square foot of FRC space as in equivalent Agency office space. Currently it costs Federal agencies an average of \$17.62 to store one cubic foot of records in office space (based on 1989 costs). On the other hand, the per annum cost to taxpayers for FRC storage is a mere \$1.13 per cubic foot for both space and equipment, a savings of \$16.49 to the government and the taxpayer.

FRC storage offers a number of benefits to Agency managers. First and foremost, FRC storage is free to the Agency, saving the cost of storing inactive records either in

office space or commercial facilities. Second, by judicious use of the FRC for off site storage, managers can free up valuable office space without having to lose access to their records, and avoid the cost of additional filing equipment. Both aspects take on increased importance as competing priorities vie for existing office space and as offices move to newer, and often smaller, space.

The Role of the Headquarters Records Officer

The Headquarters Records Officer is responsible for the Headquarters records management program including oversight of the records retirement program. The Headquarters Records Officer serves as the Agency's primary liaison with the FRC, coordinates the transfer and retrieval of records, and assists offices in completing the necessary forms and handling special situations. In addition, the Headquarters Records Officer provides a wide range of services including management briefings on records management policies and responsibilities, staff training, assistance with file plans and similar problems, and a records management network to stimulate interaction among Headquarters records managers.

Frequently Asked Questions about the FRC

Q. Is FRC storage safe?

A. Yes. FRC storage areas are protected from fire and other environmental problems. Access to all storage areas is limited to cleared NARA personnel.

Q. Can I get records back if I need them?

A. Yes. You can retrieve either boxes or folders, or you can review materials at the FRC search room in Suitland, Maryland. Normal retrieval time is 72 hours, but retrieval in 24 hours is possible if you arrange for pickup, and

records can be retrieved in as little as 4 hours in emergency situations.

Q. Are records ever lost by the FRC?

A. Recently the FRC installed an improved computerized space and location tracking system, which tracks each box stored in its custody. Despite the millions of boxes stored at the FRC, there is minimal risk that a box will be lost.

Q. Will records be destroyed without my consent?

A. No. The FRC does not destroy any records without notifying the Agency in writing well in advance of the proposed destruction date. Once the Agency has been notified, you will be given an opportunity to justify extending the retention of the records if you feel that is warranted.

Q. Once the records are retired to the FRC, who controls access?

A. You do. Records stored at the FRC cannot be accessed without your consent.

Q. Once records are transferred to the FRC, who legally "owns" them?

A. You do. Although the records are in the physical custody of the FRC, EPA retains legal custody until the time they are either destroyed or transferred to the National Archives.

Q. Then the FRC is not the same as the National Archives?

A. No. Both the FRC and the National Archives are operated by the National Archives and Records Administration (NARA), but the two programs serve very different functions. The FRC is used to store records that Federal agencies still need for current business, but only on an infrequent basis.

The National Archives is the custodian of Federal records that are no longer needed for current business, but that have been judged to have sufficient historical value to warrant preservation. Most of the records stored in the FRC will eventually be destroyed. Records that are transferred to the National Archives will be preserved permanently.

RETIRING RECORDS TO THE FRC

This chapter discusses the process to retire records to the FRC and the procedures that must be followed. Specifically, the chapter provides step-by-step instructions for:

- Preparing records for retirement
- Boxing the records for shipment
- Completing the forms to retire records
- Shipping the records to the FRC

Preparing Records For Retirement

Preparing records for retirement is the first and most important step in the entire process. The records you retire will serve you or your successors at the Agency as the official historical record of the actions, activities, or decisions that they document. Because the records may be needed to understand, evaluate, or defend those actions, the amount of time spent in preparing them will be repaid many times over if you need to retrieve records at a later date. When preparing the records for shipment take time to organize them by doing the following:

- Screen the records to remove extra copies of documents and non record items such as reference materials. If you have multiple identical copies of a document or publication, retire the original (or clearest copy if no original exists) and dispose of the remaining copies.

- Place records in either letter or legal size accordion or manilla folders.

- Label each folder with a title to indicate the records it contains. If you follow two general rules in labeling folders you will be able to retrieve the exact folder you need without unnecessary confusion. First, each folder should be uniquely labeled. Second, give the folders meaningful file names. For example, use "Correspondence: A-F, 1990," not simply "Correspondence" as the folder title.

- Place files in the boxes in their proper order. "Proper order" depends on the file scheme used, and should correspond to the filing system used in your office. For subject files, the order is usually alphabetical. Records that are filed using a numbering scheme (contract numbers for example) should be retired in numerical order. If an alphanumeric system is used, retire the files according to the file plan. Letter size folders should be placed in the boxes so that they read in order from front to back. Legal sized folders should be placed in the box so that they read from left to right (See Sample 1).

The decisions on folder titles and record arrangement are yours and should be made to best facilitate access. Bear in mind that once your records have been retired to the FRC, your ability to identify records to be recalled (and the FRC's ability to locate the records you request) will depend on how carefully you have labeled and arranged the files.

Boxing Records For Shipment

Once the records have been prepared, the next step is boxing them for shipment. Records are boxed and retired to the FRC in groups called **accessions**. Accessions consist of one or more boxes all containing the same type of records with the same disposition date. For example if you plan to retire both correspondence files and contracts, the records should be retired as two separate accessions.

Obtaining the Boxes

To retire records to the FRC you must use **Records Retirement Boxes**, which may be purchased from the EPA Office Supplies Store by using your office supplies card. This is the only size box the Federal Records Center will accept for records storage. The cost is approximately fifty-five cents per box. Assembly instructions are provided with the boxes. Boxes measure 15" x 12" x 10" and hold 1,800 cubic inches or 1.04 cubic feet. Use one of the following conversion factors to estimate the number of boxes needed.

- Fifteen inches of letter size material fit in one box.
- Records in one letter size file cabinet drawer usually fit into two boxes.
- Twelve inches of legal size material fit in one box.
- Records in one legal size file cabinet drawer usually fit into two and one-half boxes.

Preparing the Box List

In order for you and the FRC to know what folders are in each box, you need to prepare a **Box List** giving the contents of each box. Begin with Box 1 and give the box number followed by a listing of the folders in that box. Continue in the same way for the remaining boxes. An example of a good box list of file folders about cities would be:

BOX 1 of 10 BOXES

1. Atlanta
2. Boston
3. Cleveland
4. Detroit
5. Evanston
6. Fairfax

BOX 2 OF 10 BOXES

1. Galveston
2. Houston
3. Indianapolis
- (etc.)

Each file folder title should be listed to facilitate retrieval of individual files from boxes and to document exactly what folders were retired. Some programs attempt to shorten the procedure by using ranges of folder titles such as "A-F" or "Atlanta to Fairfax" instead of listing each title. This "range" method should only be used for files arranged in strict numerical or chronological order, and folders must be uniformly labeled or numbered. The range should be annotated to indicate that all folders are present in a run (inclusive) or which folders are missing, as in the following example.

Box 1: Contracts 1-31 (inclusive)

Box 2: Contracts 31-50 (Contract 39 not included)

You will need to make 5 copies of the completed box listing. These will be attached to the five copies of the Standard Form 135, Records Transmittal and Receipt Form (**SF 135**) described in the next section.

Marking the Boxes

Once the records have been boxed and the box list completed, the boxes should be labeled in numerical order. As an example, if there are 8 boxes, the first box should be numbered 1/8, the second box 2/8, etc., with the last box should be numbered 8/8. Write the **Box Number** in the upper right corner of the front side of each box (See Sample 1). After files are placed in boxes fold the top flaps closed, tucking the corners in so that they stay shut. Do not tape top flaps closed.

Completing the Forms to Retire Records

All records being retired to the FRC must be accompanied by a **Standard Form 135, Records Transmittal and Receipt Form** commonly known as an **SF 135** (See Sample 2).

The SF 135 documents the physical transfer of the accession to the FRC, and provides information such as the accession number, location, and box list.

Although the form is not difficult to complete, it must be filled out correctly for the records to be accepted. Besides your box list, you will need your records disposition schedule to complete parts of this form. A sample page from a disposition schedule is provided as Sample 3. Both the sample disposition page and the sample SF 135 form will be used to illustrate the proper way to complete the SF 135.

In the section by section explanation below, the information in **bold** letters should always be typed exactly as shown. Information that is not bolded is to be completed by the person completing the form.

Sec. 1: Address

This is the address line for the FRC.
Type the following exactly as shown:

**ATTN: Accession Branch, Washington
Federal Records Center, Suitland, MD 20409**

Sec. 2: Transferring Agency Official

This person is the Headquarters Records Officer in OIRM/IMSD who deals with the FRC. Type the following exactly as shown:

**(202) 382-5912
Records Management Officer**

Sec. 3: Transferring Agency Liaison Official

Information in Section 3 is used to identify the person in your unit who is the principal contact point for the records. We recommend that the person be at the level of section chief or higher because the person will eventually be contacted to approve all requests for access to the records as well as their final disposition (destruction or their legal transfer to the National Archives). For the person selected as the liaison, provide the following information:

Name & Title

Room Number
Phone Number
Mail Code

Sec. 4: Records Center Receipt

Leave this section blank. It will be completed by the FRC.

Sec. 5: From (Sender's Address)

Type the following between the two dots exactly as shown:

**ENVIRONMENTAL PROTECTION AGENCY
Infor. Mgt. & Services Div. (PM-211D)
Attn: Records Management
401 M Street, S.W.,
Washington, D.C. 20460**

Sec. 6: Records Data:

This is the most complicated part of the form, but also the most critical. If this section, especially Column (h) is not filled out correctly, the records will not be maintained for the proper length of time. If you have any questions concerning this section, please contact the Headquarters Records Office for assistance.

(a): RG

The FRC assigns a Record Group (RG) number to each Federal agency for administrative purposes. EPA is assigned RG Number 412. This number goes in Column (a). Always enter the following in Column (a):

412

(b): FY

This is current fiscal year. Enter the last two digits of the fiscal year in which you are retiring the records in Column (b).

91 for FY 1991
92 for FY 1991, etc.

(c): Number

Leave this blank. This number will be assigned upon completion and approval of the SF 135.

(d): Volume

Indicate the number of boxes being retired. For example, if there are 10 boxes, enter "10" in Column (d).

(e) : Agency Box Numbers

Indicate the range of box numbers being retired. Give the number of the first box, followed by a dash, and then the number of the last box. Continuing with the example above, if there are 10 boxes in the accession enter "1-10" in Column (e)

(f) : Series Description

Use the format below. Always enter the part appearing in bold type face exactly as it appears below, inserting the inclusive dates of the series (i.e. the date range or span of the documents in the boxes) in the spaces provided:

**Records created by organization
shown in Item 3 above. Inclusive
dates of records are: 19__-19__.
These records consist of:**

Following the word "of" describe the records using the title given in the records disposition schedule. If you wish to enter additional identifying information that would follow the title and appear in parentheses. A completed example based on Item 1 from the disposition page in Sample 2 would appear as follows:

**Records created by organization
shown in Item 3 above. Inclusive
dates of records are: 1988-1989.
These records consist of: Program
Management Files (Air Program issues).**

(g) : Restrictions

Type letter indicating the appropriate restriction code. Restriction codes are defined on the back of the SF 135. Use the restriction codes R or W as appropriate to the records being retired. Use the following guidelines to decide which code is appropriate.

W: Use for any records whose sensitivity is such that their physical destruction (by shredding for example) must be witnessed by an FRC employee. Examples would include records that contain Privacy Act information, confidential business information, or enforcement sensitive information.

R: Use for records that do not need a witnessed disposal.

Generally speaking, the Agency staff should not use any other restriction codes. Codes Q, T, S, and C are used only for national security classified information. Code

N is used only for records such as court records that are open to the public by law. Agency staff will be retiring few, if any records of either type to the FRC. If you have any questions about restriction codes, you should contact the Headquarters Records Officer.

(h) : Disposal Authority

This column is used to indicate the records control schedule number under which you are retiring the records to the FRC. This number is different for each type of record you maintain. Entering the records schedule information is a two step process.

For the first line, type in the word "Item:" and then enter the records schedule item number for the records you are retiring. The records schedule item number is the number that appears in the left hand column marked **ITEM**. Use the number to the left of the series description title that you entered in Column (f). To continue the example begun above, the item number for the Program Management File is "1."

Note that if the item is divided into parts, such as Item 2 in Sample 3, you would enter the item number plus the letter corresponding to the appropriate disposition. In this case the item number for Requests would be "2a" and the number for Background Materials would be "2b."

Should you experience problems finding the appropriate Item/Description for your records, contact the Headquarters Records Officer.

To begin the second line of Column (h) type the word "Ref:" followed by the number of the records disposition schedule you are using. This number should be located at the top of the records disposition schedule and should begin NC1 or N1. The correct reference number for this example is NC1-412-84-2. If no schedule number appears on the copy of the schedule you have, contact the Headquarters Records Officer.

(i) : Disposal Date

This is the date after which the records become eligible for destruction or transfer to the National Archives. The disposal date is determined by adding the retention period given in the records schedule to the end date provided in Column (f) above. In this example the last date of the records is 1989 and the retention period is 10 years so the disposal date is 1999.

(j): Location

Leave this column blank. The location will be provided by the FRC. Once processing is completed, a copy of the SF 135 will be returned to you showing the location assigned to your records.

(k-m): Shelf Plan, Cont. Type, Auto Disp.

Leave these columns blank. They are for FRC administrative use.

Bring the completed SF 135 and the 5 copies of the box list to the Headquarters Records Officer for signature. Once the SF 135 has been signed, make four copies of the signed SF 135 and staple a copy of the box list to each SF 135. The Headquarters Records Management Officer will send the forms to the FRC for approval. This process normally takes from one to two weeks.

Shipping the Records

Following approval by the FRC, an **accession number** will be assigned to the SF 135 and it will be returned to you. The accession number consists of three fields: the number 412, the last two digits of the fiscal year (found in Column (b)), and the number provided in Column (c). A sample accession number is 412-90-0123. Write the accession number in the upper left hand corner of each box in the accession (See Sample 1) and place a copy of the SF 135 and the box list in the first box. If you prefer, you may place copies in each box, which may simplify retrieval of the records. The records are now ready for shipment.

To send records to the FRC, fill out EPA Labor Services Request (Standard Form 5100-8) to have the box(es) picked up and transferred to the FRC. Type the following statement in the center section titled "Description" filling in the information requested in italics (See Sample 4).

Request (give number of boxes) Federal Records Center Retirement Boxes be picked-up from Room (give room number), (give name of section) and delivered to EPA Shipping and Receiving for further shipment to the Federal Records Center. Please see (give name of person responsible) prior to pick-up.

ACCESSION NUMBER

412-91-_____

BOXES

(QUANTITY)

Normally boxes are not picked up until after

- An accession number has been provided by the Headquarters Records Officer.
- The accession number has been put on the boxes.
- The SF 135s and box lists have been put in the first box of the accession.

However, if it is necessary to move the boxes out of office space before that time, call the Headquarters Records Officer to obtain permission to have the boxes sent to the loading dock.

RETRIEVING RECORDS FROM THE FRC

Completing the Retrieval Forms

Boxes or files may be retrieved from the FRC using the Federal Records Center Reference Request Form (**Optional Form-11**). Retrieving folders is quicker than recalling entire boxes, and the folders are easier to manage in the office area. A sample OF 11 is provided as Sample 5. A separate OF-11 must be filled out for each file or box requested. Fill in the top portion of the form as follows:

Record Group Number

Type **412** in all cases.

Accession Number

Type the accession number from the appropriate SF 135. The accession number consists of the information in Columns (b) and (c) of the RECORDS DATA section of the SF 135. A typical accession number might be 91-0123.

Agency Box Number

Type the number of the box containing the folder you wish to retrieve before the word "of" and the number of the last box in the accession after the word "of." The number of the last box in an accession is given in Column (e) of the SF 135.

Records Center Location Number

Enter the numbers found in Column (j) of your completed SF 135. If your SF 135 does not have a location number, the Headquarters Records Officer can provide it.

Description of Records or Information Requested

If a single file is being requested, give the exact title of the file, as shown in Sample 5. If the entire box is being requested, enter the box number and the titles of the first and last folders in the box as follows:

Box 1 (folders Atlanta thru Fairfax)

Remarks

If you are requesting an individual folder, enter the following in the section titled "Remarks:"

Do Not Send Entire Box

If you are requesting the entire box, enter the following in the section titled "Remarks:"

Please Send Entire Box

Nature of Service

If you wish the records returned to you, mark the box "Temporary Loan of Records" as in Sample 5. If you wish to use the records at the FRC reading room, mark the box "Review." Other services should be coordinated through the Headquarters Records Officer.

Name of Requestor

Give the name of the Agency staff person requesting the records.

Telephone No.

Give the telephone number of the person requesting the records.

Name and Address of Agency

Complete this section as follows:

ENVIRONMENTAL PROTECTION AGENCY

(Your program's name, mail code, and room number)

401 M Street SW

Washington, DC 20460

Always use the 401 M street address, even if your office is not located there. The FRC returns records to the Agency using UPS, and the only UPS drop off is through the 401 M Street building. Once the records arrive at the main building, you will be notified and given the choice of having the records delivered by interoffice mail, or picking them up yourself.

Retrieving the Records

To prevent unauthorized access to records, the FRC maintains a list of Agency staff authorized to request retrievals. Each OF 11 must be signed by an authorized person before the FRC will honor the request. The Headquarters Records Officer is one such authorized person, and OF 11s may be brought to the Information Management Services Division Office for signature. If your program retrieves records from the FRC frequently, authorization can be delegated to a person in you program. Contact the Headquarters Records Officer for details.

Once the form has been signed it must be delivered to the FRC. This is done by mail, Fax, or hand delivery. Normally, the FRC can have the records ready within 24 hours of the time they receive the request. Records are normally returned to the Agency via UPS delivery, but you can pick them up at the Suitland facility or arrange for courier pickup, or the requestor can use the records in the FRC's modern reading room.

Returning Records to the Federal Records Center

Returning boxes or files to the FRC is accomplished by preparing an **EPA Form 1320-3** (Mailing Label). To ensure that each box or individually retrieved file is properly refiled you should

- Enclose a copy of the OF 11 used to retrieve the file or box, and
- Complete a Mailing Label (EPA Form 1320-3)

Mailing labels may be obtained from the Office Supplies Store. Complete the Form 1320-3 as follows (See Sample 6).

Step 1:

Type the Mail Code for your particular program next to the word "Agency" in the upper left return address section.

Step 2:

Type the following address in the center of the form:

**Washington Federal Records Center
4205 Suitland Road
Suitland, Maryland 20409**

Step 3:

Type the following information about the records being returned in the left of the form, using the information from the OF-11 to fill in the blank lines:

RETURN FOR REFILE
Accession # _____
Location # _____
Box # _____
File Name and/or
Number (If Necessary)

Note: Only use "File Name and/or Number" on label if you are returning individual files to the FRC.

Step 4

If you are returning boxes, seal top of box with nylon reinforced tape and paste mailing label on top of the box. If you are returning individual files, paste label in center of EPA mailing envelope, insert files, seal and mail. In either case, always enclose a copy of the OF-11 used to retrieve the records.

Step 5:

If you are returning boxes of records to the FRC, fill out EPA Labor Services Request (Standard Form 5100-8) to have the box(es) picked up and transferred to the FRC. In completing the SF 5100-8, type the following statement in the center section titled "Description" filling in the information requested in italics.

Request (give number of boxes) Federal Records Center Retirement Boxes be picked-up from Room (give room number), (give name of section) and delivered to EPA Shipping and Receiving for further shipment to the Federal Records Center for refile. Please see (give name of person responsible) prior to pick-up.

ACCESSION NUMBER

412-91-????

BOXES

(QUANTITY)

Step 6

Forward the form to the Agency Property Office, which will pick up the records.

DISPOSITION OF RECORDS

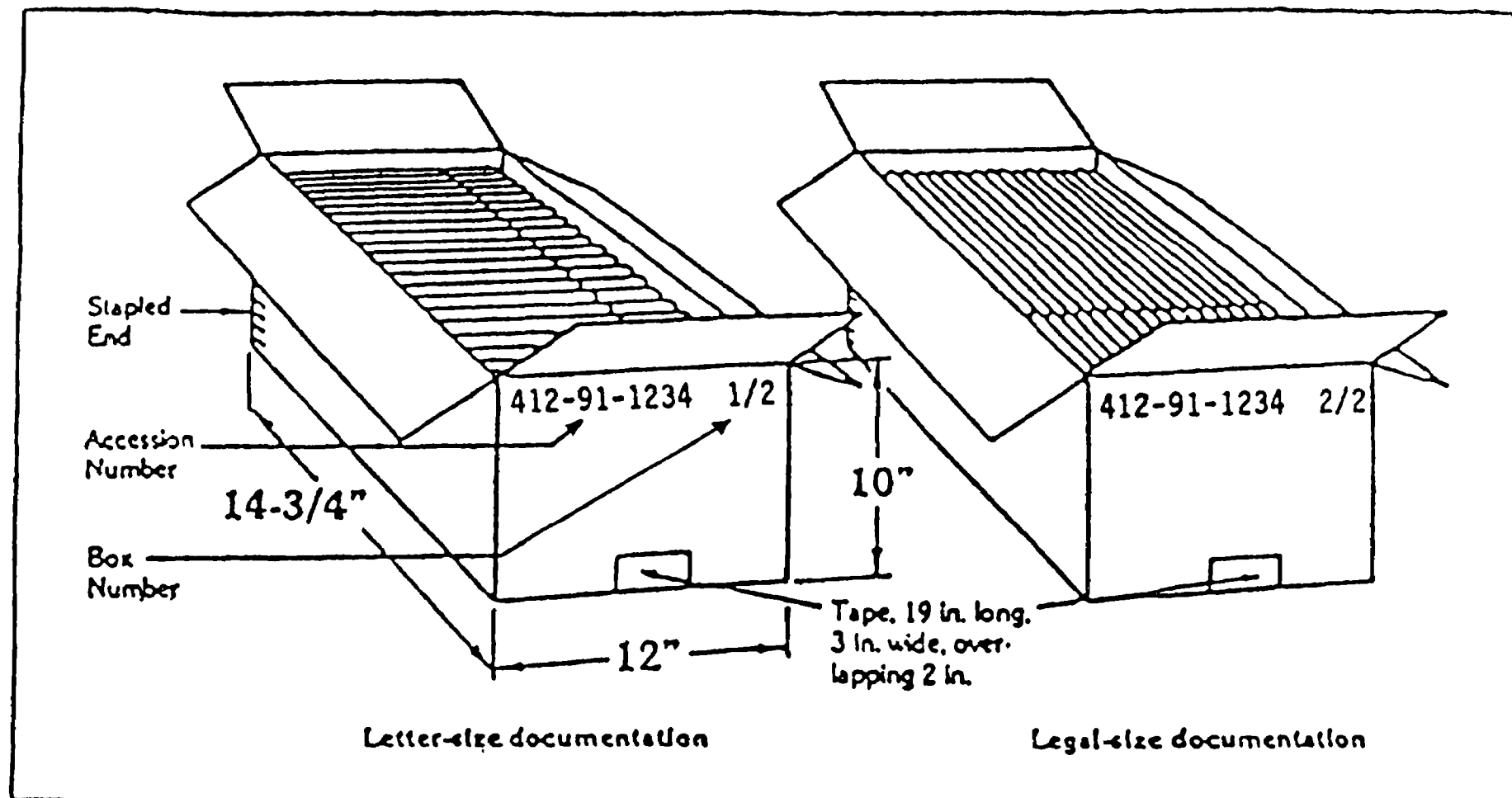
The FRCs provide temporary long or short term storage for Agency records, but at some point the records stored there are eligible for either destruction or transfer to the National Archives for permanent retention. The date of one of these two events is the **Disposal Date**, found in Column (i) of the SF-135. Approximately 90 days before the disposition is to take effect, the FRC will send the Headquarters Records Officer a notification of pending disposition.

If the records are eligible for destruction, the FRC will send **NA Form 13001**, Notice of Intent to Destroy Records. Upon receipt of the form, the Headquarters Records Officer pulls a copy of the SF-135 for the records listed in the NA Form 13001 and sends a copy of the SF 135 together with a cover letter (See Sample 7) to the program director (either the division director or office head) whose program created the records. The program director then has 20 working days to either concur in the destruction or justify a request for extension of retention. Responses are sent to the Headquarters Records Officer, who will coordinate with the FRC. All requests for extensions must be justified in writing. If an extension is granted, the FRC will maintain the records for at least 3 years and then submit another Notice of Intent to Destroy Records. If you wish the records to be retained longer than three years, you should propose a disposal date in your reply.

If the records are scheduled for transfer to the National Archives, the FRC will send the Agency a **Standard Form 258**, Request to Transfer, Approval, and Receipt of Records to the National Archives to the National Archives of the United States. The SF 258 is used to transfer legal custody of the records to the National Archives. Upon receipt of the SF 258, the Headquarters Records Officer will notify the program director of the request for transfer. The program director then has 20 working days to concur in the transfer, or submit a written request to extend the period of Agency custody.

In either case, the program director's concurrence will be requested before any action is taken by the Headquarters Records Officer or the FRC.

SAMPLE 1



RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF 1 PAGES

1. TO (Complete the address for the appropriate records center serving your area)

Federal Archives and Records Center
General Services Administration
 ATTN: Accession Branch, Washington
 Federal Records Center, Suitland, MD

2. AGENCY TRANSFER AUTHORIZATION

TRANSFERRING AGENCY OFFICIAL (Signature and title)
 (202) 382-5912
 Records Management Officer

DATE

3. AGENCY CONTACT

TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
 Name, Title, Room Number, Phone Number and
 Mail Code of Dir., Div., Br., or Sec. Chief

4. RECORDS CENTER RECEIPT

RECORDS RECEIVED BY (Signature and title)
 (LEAVE BLANK)

DATE

5. FROM (Enter the name and complete mailing address of the office returning the records. The signed receipt of this form will be sent to this address)

ENVIRONMENTAL PROTECTION AGENCY
 Information Mgmt. & Services Div. (PM-211D)
 ATTN: Records Management
 401 M St., S.W., Wash., D.C. 20460

Fold line

6. RECORDS DATA												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT TYPE	AUTO DISP
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
412	91	(SEE RCDS. MGT.)	10	1-10	Records created by organization shown in Item 3 above. Inclusive dates of records are: 19__ ->19__. These records consist of: (Use title of records located on records schedule) SEE ATTACHMENT <u>PREPARE 5 COPIES OF THIS FORM AND ATTACH COPY OF BOX LISTING TO EACH FORM</u> 3 copies go to Records Management 1 copy placed in Box 1 1 copy filed in Section	(SEE BACK OF FORM)	Item: Ref: (See records schedule)	See Records Schedule)	(LEAVE BLANK)			

SAMPLE 2

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES		SCHED NO
TITLE OF SCHEDULE GENERAL COUNSEL RECORDS <i>NCI-412-84-2</i>		COVERAGE OF SCHEDULE AGENCYWIDE
ITEM NO	NAME AND DESCRIPTION OF RECORD/FILE	RETENTION PERIOD AND DISPOSITION
1.	<p><u>PROGRAM MANAGEMENT FILE</u></p> <p>Contains documents relating to the management, operation, development, and guidance of the Office of General Counsel.</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 Record Center (FRC). Keep in FRC for 8 years.</p>
2.	<p><u>LEGAL INTERPRETATION 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, <u>Federal Register</u> 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 15 years, then offer to the National Archives in 15 year blocks.</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 the FRC. Keep in FRC for 8 years, then destroy.</p>
3.	<p><u>DEFENSIVE LITIGATION INVOLVING EPA</u></p> <p><u>Clean Air Act, Clean Water Act, Safe Drinking Water Act, Federal Insecticide, Fungicide, and Rodenticide Act, Toxic Substances Control Act, Resource Conservation and Recovery Act, Comprehensive Environmental Response, Compensation and Liability Act, Uranium Mill Tailings Radiation Control Act, and Marine Protection, Research and Sanctuaries Act:</u> Records consist of court pleadings and 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 FRC. Keep in FRC for 9 years, then destroy.</p>



Washington, DC 20460
Facilities Services Request

Name Of Requestor			FMSD Agency I D No
Office	Building	Room	Program Transaction
Phone	Mailcode	E Mail	Custodial Area

- ☐ Building Modification ☐ Labor Services ☐ Lockwork ☐ Security Systems ☐ Signage
☐ Bulletin Board /Directory Changes ☐ Carpet Cleaning/Removal/Repair ☐ Drapery Alterations/Cleaning/Removal Installations
☐ Other (Specify)

Description

Request (number) Federal Records Center Retirement Boxes be picked-up from Room (room number), (name of section) and delivered to EPA Shipping and Receiving for further shipment to the Federal Records Center. Please see (person responsible) prior to pick-up.

ACCESSION NUMBER

412-00-0000

BOXES

(QUANTITY)

Justification

Certification

I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.

<i>I certify that funds are available</i>		Signature of Commitment Clerk		Telephone No	
Appropriation	DCN	Account No	Object Class	Dollar Amount	
Action Taken					
Action	Date	Time	Action	Date	Time
Laborers Dispatched			Arrived on Job		
Laborers Returned			Job Completion		
<i>I certify that the work was satisfactorily completed</i>			Customer's Signature		

REFERENCE REQUEST—FEDERAL RECORDS CENTERS

NOTE: Use a separate form for each request

SECTION I—TO BE COMPLETED BY REQUESTING AGENCY

RECORD GROUP NO	ACCESSION NO	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER
412	91-1234	3 OF 10	00/00:00-0.0

DESIGNATION OF RECORD(S) OR INFORMATION REQUESTED (Include file number and title)

File Titled: Environmental Impact Statement

REMARKS

Do Not Send Entire Box

NATURE OF SERVICE

☐ FURNISH COPY OF RECORD(S) ONLY ☐ PERMANENT WITHDRAWAL ☒ TEMPORARY LOAN OF RECORD(S) ☐ REVIEW ☐ OTHER (Specify)

NAME OF REQUESTER

TELEPHONE NO

☐ FTS

DATE

RECEIPT OF RECORDS

Mary Wilson

(202) 382-1234 Apr. 1, 1991

NAME AND ADDRESS OF AGENCY

ENVIRONMENTAL PROTECTION AGENCY
Information Mgmt & Svcs Div. (PM-211D) Rm. 2003
401 M Street S.W.
Washington, DC 20460

Requester please sign, date and return this form, for file item(s) listed above, *ONLY* if the block to right has been checked by the Records Center ☐

SIGNATURE

DATE

Include street address, building room no and ZIP Code

(In Washington, D.C. area also include STOP number)

SECTION II—FOR USE BY RECORDS CENTER

☐ RECORDS NOT IN CENTER CUSTODY ☐ RECORDS DESTROYED☐ WRONG BOX NUMBER—PLEASE RECHECK☐ ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED☐ MISSING (Neither record(s), information nor charge card found in container(s) specified)☐ RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date)

REMARKS

DATE

SERVICE

TIME REQUIRED

SEARCHER'S INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING AGENCY

General Services Administration
Federal Records Center NARS

Reference Section

Suitland, Md 20409

(City)


(State)

(Zip Code)

NOTE: In Washington, D.C. area
send to STOP 386

INSTRUCTIONS FOR RETURNING RECORDS TO THE FEDERAL RECORDS CENTER

1. Type One EPA Form 1320-3 (Mailing Label), as shown below for each box being returned.
2. Place label on Top of box.
3. Fill-out EPA Form 5100-2 (Labor Services Request) to have box(es) picked-up and transferred to Shipping and Receiving for further shipment to the Federal Records Center in Suitland Maryland.

	
United States Environmental Protection Agency (Mail Code) Washington, DC 20460	
Official Business Penalty for Private Use \$300	WASHINGTON FEDERAL RECORDS CENTER 4205 Suitland Road Suitland, Md 20409
<u>RETURN FOR REFILE</u>	
Accession # _____	
Location # _____	
Box # _____	
EPA Form 1320-3 (Rev. 3-84)	



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
ADMINISTRATION
AND RESOURCES
MANAGEMENT

MEMORANDUM

SUBJECT: Notice of Intent to Dispose of Records

FROM: Harold Webster
Agency Records Officer
Information Management and Services Division

TO:

We have received notification from the Washington National Records Center that a group of _____ will be eligible for disposal on _____. These files were transferred to the records center on _____. We are attaching a copy of the transmittal form showing a description of the file contents. Under the approved Records Control Schedule _____, these records may be legally destroyed since their authorized period of retention has expired. If you do not concur with this disposal action, please advise us in writing by _____. A recommendation for further retention must include a proposed new disposal date and a statement of justification indicating a specific need for the records.

Attachment: Records Transmittal and Receipt (SF-135)

ACCESSION NUMBER(S)

BOX(ES)



Printed on Recycled Paper



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
ADMINISTRATION
AND RESOURCES
MANAGEMENT

MEMORANDUM

SUBJECT: Notice of Intent to Dispose of Records

FROM: Harold Webster
Agency Records Officer
Information Management and Services Division

TO:

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Attachment: Records Transmittal and Receipt (SF-135)

ACCESSION NUMBER(S)

BOX(ES)



United States Environmental Protection Agency Washington, DC 20460 Facilities Services Request			Date	
Name of Requestor			FMSD Agency I D No	
Office	Building	Room	Program Transaction	
Phone	Mailcode	E Mail	Custodial Area	
<input type="checkbox"/> Building Modification <input type="checkbox"/> Labor Services <input type="checkbox"/> Lockwork <input type="checkbox"/> Security Systems <input type="checkbox"/> Signage <input type="checkbox"/> Bulletin Board /Directory Changes <input type="checkbox"/> Carpet Cleaning/Removal/Repair <input type="checkbox"/> Drapery Alterations/Cleaning/Removal Installations <input type="checkbox"/> Other (Specify)				
Description. <p style="text-align: center;"> Request (number) Federal Records Center Retirement Boxes be picked-up from Room (room number), (name of section) and delivered to EPA Shipping and Receiving for further shipment to the Federal Records Center. Please see (person responsible) prior to pick-up. </p> <div style="display: flex; justify-content: space-around; margin-top: 20px;"> <div style="text-align: center;"> <u>ACCESSION NUMBER</u> 412-00-0000 </div> <div style="text-align: center;"> <u>BOXES</u> (QUANTITY) </div> </div>				
Justification				
Certification I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.				
<i>I certify that funds are available</i>		Signature of Commitment Clerk		Telephone No
Appropriation	DCN	Account No	Object Class	Dollar Amount
Action Taken				
Action	Date	Time	Action	Date
Laborers Dispatched			Arrived on Job	
Laborers Returned			Job Completion	
<i>I certify that the work was satisfactorily completed</i>			Customer's Signature	

BOX LISTING

(Use Plain BOND PAPER and list each and every folder)

BOX 1 of BOXES

1. XXXXXXXXXXXXXXXXXXXXXXXX
2. XXXXXXXXXXXXXXXXXXXXXXXX
3. XXXXXXXXXXXXXXXXXXXXXXXX
4. XXXXXXXXXXXXXXXXXXXXXXXX

BOX 2 of BOXES

1. XXXXXXXXXXXXXXXXXXXXXXXX
2. XXXXXXXXXXXXXXXXXXXXXXXX
3. XXXXXXXXXXXXXXXXXXXXXXXX
4. XXXXXXXXXXXXXXXXXXXXXXXX

BOX 3 of BOXES

1. XXXXXXXXXXXXXXXXXXXXXXXX
2. XXXXXXXXXXXXXXXXXXXXXXXX
3. XXXXXXXXXXXXXXXXXXXXXXXX
4. XXXXXXXXXXXXXXXXXXXXXXXX

BOX 4 of BOXES

1. XXXXXXXXXXXXXXXXXXXXXXXX
2. XXXXXXXXXXXXXXXXXXXXXXXX
3. XXXXXXXXXXXXXXXXXXXXXXXX
4. XXXXXXXXXXXXXXXXXXXXXXXX



United States Environmental Protection Agency
Washington, DC 20460
Facilities Services Request

Date

Name Of Requestor:

FMSD Agency I D No

Office:

Building:

Room:

Program Transaction

Phone:

Mailcode:

E Mail:

Custodial Area

- ☐ Building Modification ☐ Labor Services ☐ Lockwork ☐ Security Systems ☐ Signage
- ☐ Bulletin Board /Directory Changes ☐ Carpet Cleaning/Removal/Repair ☐ Drapery Alterations/Cleaning/Removal Installations
- ☐ Other (Specify)

Description:

Request (number) Federal Records Center Retirement Boxes be picked-up from Room (room number), (name of section) and delivered to EPA Shipping and Receiving for further shipment to the Federal Records Center for refile. Please see (person responsible) prior to pick-up.

ACCESSION NUMBER

412-00-0000

BOXES

(QUANTITY)

Justification:

Certification

I certify that the statements I have made on this form and all attachments thereto are true, accurate, and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.

I certify that funds are available

Signature of Commitment Clerk

Telephone No

Appropriation

DCN

Account No:

Object Class

Dollar Amount

Action Taken

Action

Date

Time

Action

Date

Time

Laborers Dispatched:

Arrived on Job:

Laborers Returned:

Job Completion:

I certify that the work was satisfactorily completed

Customer's Signature:

REFERENCE REQUEST—FEDERAL RECORDS CENTERS

NOTE: Use a separate form for each request.

SECTION I—TO BE COMPLETED BY REQUESTING AGENCY

RECORD GROUP NO	ACCESSION NO	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER
412	91-1234	3 OF 10	00/00:00-0.0

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED (Include file number and title)

File Titled: Environmental Impact Statement

REMARKS

Do Not Send Entire Box

NATURE OF SERVICE

☐ FURNISH COPY OF RECORD(S) ONLY
 ☐ PERMANENT WITHDRAWAL
 ☒ TEMPORARY LOAN OF RECORD(S)
 ☐ REVIEW
 ☐ OTHER (Specify)

NAME OF REQUESTER

Mary Wilson

TELEPHONE NO

(202) 382-1234

FTS

DATE

Apr. 1, 1991

RECEIPT OF RECORDS

NAME AND ADDRESS OF AGENCY

ENVIRONMENTAL PROTECTION AGENCY
 Information Mgmt & Svcs Div. (PM-211D) Rm. 2003
 401 M Street S.W.
 Washington, DC 20460

(Include street address, building, room no and ZIP Code)

(In Washington, D.C. area also include STOP number)

Requester please sign, date and return this form, for file item(s) listed above, ONLY if the block to right has been checked by the Records Center

SIGNATURE

DATE

SECTION II—FOR USE BY RECORDS CENTER

- ☐ RECORDS NOT IN CENTER CUSTODY
 ☐ RECORDS DESTROYED
☐ WRONG BOX NUMBER—PLEASE RECHECK
☐ ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED
☐ MISSING (Neither record(s), information nor charge card found in container(s) specified)
☐ RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date)

REMARKS

DATE

SERVICE

TIME REQUIRED

SEARCHER'S INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING AGENCY

General Services Administration
Federal Records Center NARS

Reference Section

Suitland, Md 20409

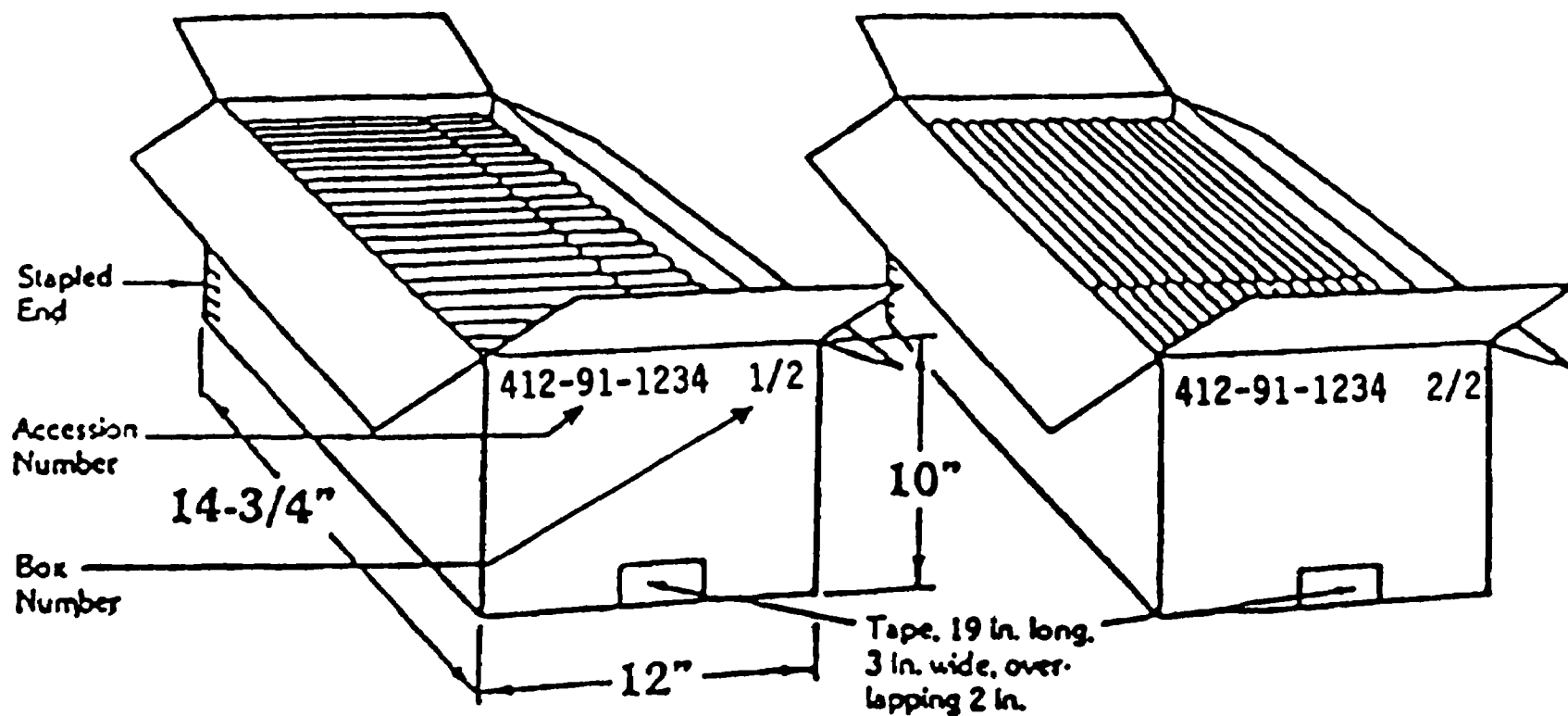
(City)

(State)

(Zip Code)

NOTE: In Washington, D.C. send to STOP 386

TO



Letter-size documentation

Legal-size documentation

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and to approval prior to shipment of records.

is of this form to the appropriate Federal Records Center for specific instructions on reverse.

PAGE
1

AGES

1. TO (Complete the address for the appropriate records center serving your area)

Federal Archives and Records Center
General Services Administration

ATTN: Accession Branch, Washington

Federal Records Center, Suitland, MD

As shown in
FPMR 101-11.410-1

2. AGENCY
TRANSFER
AUTHOR-
IZATION

TRANSFERRING AGENCY OFFICIAL (Signature and title)

(202) 382-5912

Records Management Officer

DATE

3. AGENCY
CONTACT

TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)

Name, Title, Room Number, Phone Number and
Mail Code of Dir., Div., Br., or Sec. Chief

4. RECORDS
CENTER
RECEIPT

RECORDS RECEIVED BY (Signature and title)

(LEAVE BLANK)

DATE

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

ENVIRONMENTAL PROTECTION AGENCY

Information Mgmt. & Services Div. (PM-211D),

ATTN: Records Management

401 M St., S.W., Wash., D.C. 20460

Fold line

6. RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
412	91	(SEE RCDS. MGT.)	10	1-10	Records created by organization shown in Item 3 above. Inclusive dates of records are: 19__ - 19__. These records consist of: (Use title of records located on records schedule) SEE ATTACHMENT <u>PREPARE 5 COPIES OF THIS FORM AND ATTACH COPY OF BOX LISTING TO EACH FORM</u> 3 copies go to Records Management 1 copy placed in Box 1 1 copy filed in Section	(SEE BACK OF FORM)	Item: Ref: (See records schedule)	See Records Schedule)	(LEAVE BLANK)			

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARS record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.
- (e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	Restrictions
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use—witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

- (h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

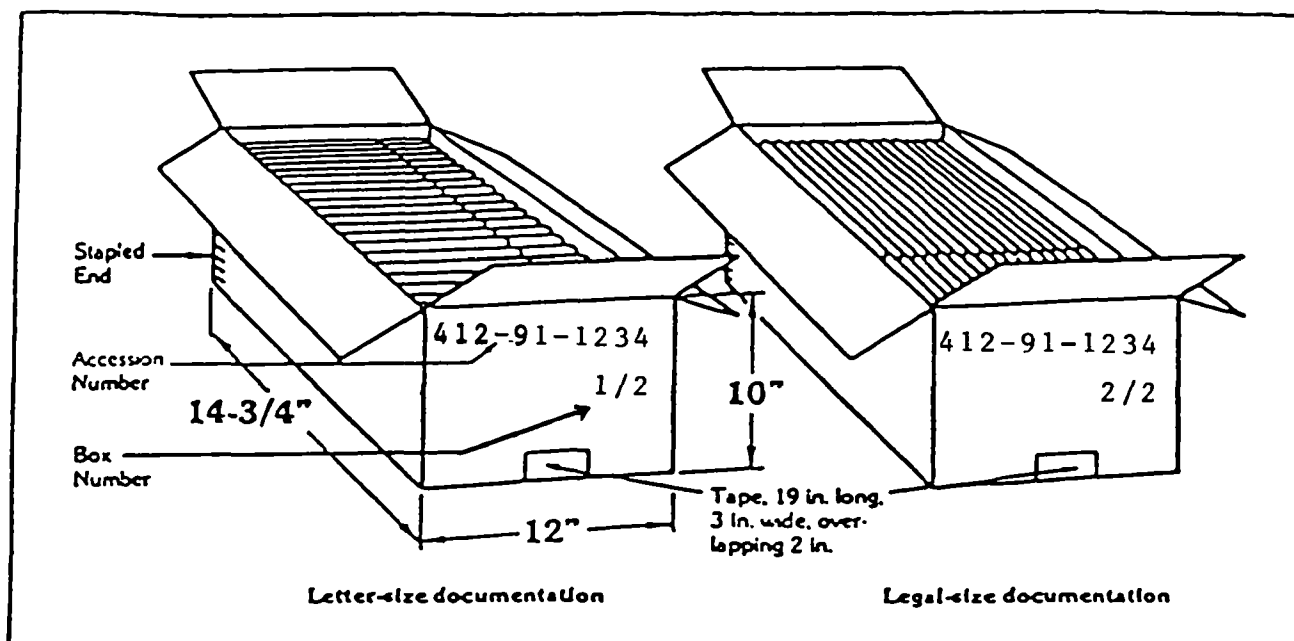
Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

- (j) **Location.** The records center annotates the shelf location of the first carton for each series of records.
- (k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev 6-76)



R RDS TRANSMITTAL AND RECEIPT Complete and send original approval prior to shipment

3 copies of this form to the appropriate Federal Records Center for
1s. See specific instructions on reverse.

OF
PAGES

1. TO (Complete the address for the appropriate records center serving your area)

Federal Archives and Records Center
General Services Administration

As shown in
FPMR 101-11.410-1

2. AGENCY TRANSFER AUTHOR- IZATION	TRANSFERRING AGENCY OFFICIAL (Signature and title)	DATE
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)	
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and title)	DATE

3. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

Fold line

RECORDS DATA											COMPLETED BY RECORDS CENTER			
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRIC- TION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	LOCATION	SHELF PLAN	CONT TYPE	AUTO DISP		
RG	FY	NUMBER												
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)		

INSTRUCTIONS FOR COMPLETION

I OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

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Code

Restrictions

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FOR COMPLETION BY THE RECORDS CENTER

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Standard Form 135 Back (Rev. 6-76)