REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

Environmental Protection Agency

2. MAJOR SUBDIVISION

Various Programs

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Michael L. Miller

5. TELEPHONE

(202) 260-5911

DATE 1-20-99

ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 44 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

[X] is not required; [ ] is attached; or [ ] has been requested.

DATE

4/24/95

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

Agency Records Officer, Information Management Services Division

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached EPA Records Schedules.		
	094A 159A		
	098A		
	161A 095A		
	235R 238R		
	301H		
	572A 239R		
	574A 573A		
	575A 049A		
	576A		
	685A 682A		
	706A		
	707A		
	234R		
	447A		
	462A		
	463A		
	465A		
	467A		
	468A		
	471A		
	474A		
	476A		
	477A		

115-109
NSN 7540-00-634-4064
PREVIOUS EDITION NOT USABLE
STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

JAN 25 1999   copy to: agency, NWMD
NWME

EPA Records Schedule 094

Status: Final, 05/31/2007

Title: Electronic Bulletin Boards

Program: All Programs

Applicability: Agency-wide

Function: 305-109 - Official Information Dissemination

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/1

Description:

Includes a broad range of systems used to provide ready, user-friendly access to frequently used information in a "public forum" format. Announcements and messages can be posted and read by any user. Information may be drawn from Agency data bases, publicly available sources or a combination of sources. Also includes other types of on-line dialogue, including chat rooms, listservs, Lotus Notes Teamrooms and QuickPlace.

Information is brought together to simplify access and provide specialized support for specific information needs. Often used to distribute software programs, models, or text files.

Disposition Instructions:

Item a: Electronic system software

- **Disposable**

- Delete when superseded by routine software updates and quality assurance check completed or when no longer needed.

Item b: Input

- **Disposable**

- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Disposable**

- Delete when no longer needed.

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Disposable**

- Delete when superseded or obsolete, or upon authorized deletion of the system, according to instructions in EPA 304, item a.

Guidance:

Specific systems covered by this schedule are listed below.

Substantive Information which meets the definition of an Agency record and is disseminated via a bulletin board or other on-line system must be documented in an Agency recordkeeping system and retained in accordance with approved records schedules. If the bulletin board information is unique and not documented elsewhere, a separate records schedule is required.

Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" schedules:

- EPA 063 - Electronic Models and Expert Systems
- EPA 088 - Bibliographic and Reference Systems
- EPA 089 - Information Tracking Systems
- EPA 090 - Administrative Support Data Bases

Electronic records not requiring their own schedules or covered in one of the generic schedules above may be segments or phases of information systems. Examples of this type of schedule include, but are not limited to:

- EPA 164 - Electronic Spreadsheets
- EPA 170 - Files/Records used to Create and Maintain Master Files
- EPA 304 - Systems Documentation

This schedule includes, but is not limited to, the following systems:

- Center for Exposure Assessment Modeling Electronic Bulletin Board System (CEAM BBS)
- Clean-Up Information Bulletin Board System (CLU-IN)
- Fish Advisory Special Interest Group Located on Non-Point Source Bulletin Board
- Hazardous Materials Information Exchange (HMIX BBS)
- Lean Manufacturing
- Management and Accountability Process System (MAPS)
- Office of Environmental Justice Bulletin Board System (OEJ BBS)

- Office of Research and Development Electronic Bulletin Board System (ORD BBS)
- OHS Teams
- Point Source Information and Provision Exchange System (PIPES)
- Records Management QuickPlace
- Technology Transfer Network (TTN)
- Wastewater Treatment Information Exchange Bulletin Board System (WTIE-BBS)

Reasons for Disposition:

Bulletin boards are used as a means to disseminate information captured in other places. Bulletin boards and Web sites with unique information are scheduled separately.

Custodians:

Multiple units

Related Schedules:

EPA 063, EPA 088, EPA 089, EPA 090, EPA 164, EPA 170, EPA 171, EPA 304

Previous NARA Disposal Authority:

Entry: 02/17/1994

EPA Approval: 04/28/1995

NARA Approval: 01/20/1999

DRAFT OF 6/25/98

U.S. EPA RECORDS CONTROL SCHEDULE

2) **SERIES TITLE:** Envirofacts   *Withdrawn*

PROGRAM: All Programs

EPA SERIES NO: 098A

AGENCY FILE CODE: IRMT 098

NARA SCHEDULE NO. N1-412-96-1/2
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Envirofacts system provides access to EPA program data and
EPA program systems data. There are two aspects to the system. The data base
pulls together data from other EPA systems (e.g., PCS, TRI, DOCKET, FINDS) to
allow for cross media analyses of program information. The geographic
information system allows data to be mapped geographically. Updated monthly.

ARRANGEMENT:

TYPE OF RECORDS: **SPECIFIC RESTRICTIONS:**
Software, data files   None

MEDIUM: **VITAL RECORD:**
Electronic   No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

Withdrawn

EPA SERIES NO. 098A

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Software program: Disposable   No

b(1). Developmental data:
Disposable   No

 (2). Production data: No
Permanent

c. Supporting documentation:
Permanent   Yes

FILE BREAK INSTRUCTIONS: Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software updates or when no longer needed.

b(1). Maintain data sets 7 years, then delete.

 (2). Transfer data sets to the National Archives annually as specified in 36 CFR 1228.188.

c. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.188. This documentation would be transferred along with the electronic data (item b(2)).

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This system documents the location of various pollution sources and is a key tool for cross media analysis. As part of the Agency's basic GIS framework, it documents the location of various pollution sources for GIS work and has immense secondary research value. It promotes data sharing and data integration across the Agency as well as public access to Agency information. Data used in specific applications are included with those applications.

AGENCY-WIDE GUIDANCE: The Enterprise Information Management Division of the Office of Administration and Resources Management is responsible for implementing the disposition.

Developmental documentation is scheduled in EPA 304A - Systems Documentation. Data used in a specific application in other offices should be destroyed according to the disposition instructions for the related records.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: **CONTACT POINT:**

Name: OARM   **Name:** David Catlin

Location: **Mail Code:** 3408

Inclusive Dates: **Telephone:**

Volume on Hand (Feet):   **Office:** Enterprise Information Management
                                                Division

U.S. EPA RECORDS CONTROL SCHEDULE

3) **SERIES TITLE:** System Backups

PROGRAM: All Programs

EPA SERIES NO: 161A

AGENCY FILE CODE: INFO 161

NARA SCHEDULE NO. N1-412-96-1/3
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: Consists of electronic backup copies of software and data stored on direct access storage devices in a computer system. They are used to recreate a system or its data in case of unintentional loss from on-line storage. They are mirror images of storage disks on which data and documents may be scattered randomly as they are on the disks themselves. Includes:

a. System backups for the Enterprise Technology Services Division, and

b. System backups for LANs.

Security backups are scheduled separately.

ARRANGEMENT:

TYPE OF RECORDS: Data files	**SPECIFIC RESTRICTIONS:**
MEDIUM: Electronic	**VITAL RECORD:** No
FUNCTIONS SUPPORTED: Program management	
SPECIFIC LEGAL REQUIREMENTS: None	

EPA SERIES NO. 098A

Annual Accumulation: Room: 1209 NEM
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 304A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
11/14/95		3/9/95	6/25/98

<u>*DISPOSITION INFORMATION:*</u>
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
Disposable   No

FILE BREAK INSTRUCTIONS: See disposition instructions.

DISPOSITION INSTRUCTIONS:
a. Delete after 90 days or when third backup cycle is completed, whichever is earlier.

b. Delete after 30 days or when third backup cycle is completed, whichever is earlier.

<u>*APPLICATION GUIDANCE:*</u>
REASONS FOR DISPOSITION: System backups are used to recreate a system or its data in the case of unintentional loss from on-line storage and are not records.

AGENCY-WIDE GUIDANCE: This item applies only to electronic backup copies of software and data stored on direct access storage devices in a computer system used to recreate a system or its data in case of unintentional loss. Electronic backup copies which are identical in format to existing master copies and data bases are scheduled as EPA 177A - Security Backups of Files. Security backups must be made for records which are scheduled as permanent and are to be transferred to the National Archives. Until the information is taken off line for transfer, the system backup may serve as the security backup.

Electronic copies consisting of data copied from master copies and data bases and written with varying technical specifications are scheduled as EPA 176A - Technical Reformat Files.

Specific schedules have been developed for many Agency schedules. Check to see if your system is listed in the index to these schedules. In other cases, systems are included as parts of general system schedules, such as EPA 063A - Electronic Models and Expert Systems.

Other schedules for segments or phases of information systems include:

EPA 160A -   Downloaded and Copied Data
EPA 170A -   Files/Records Relating to the Creation, Use and Maintenance of Computer Systems,
         Applications, or Electronic Records
EPA 171A -   Input/Source Records
EPA 172A -   Electronic Versions of Records Scheduled for Disposal
EPA 173A -   Data Files Consisting of Summarized Information
EPA 174A -   Records Consisting of Extracted Information
EPA 175A -   Print Files
EPA 176A -   Technical Reformat Files
EPA 177A -   Security Backups of Files
EPA 179A -   Special Purpose Programs

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

<u>*CUSTODIAL INFORMATION:*</u>
CONTROLLING UNIT: Multiple units   **CONTACT POINT:**

Name: **Name:**

Location: **Mail Code:**

Inclusive Dates: **Telephone:**
Volume on Hand (Feet):   **Office:**

Annual Accumulation: **Room:**
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 160A, EPA 170A, EPA 171A, EPA 172A, EPA 173A, EPA 174A, EPA 175A, EPA 176A, EPA 177A, EPA 179A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Date	Entry Date	Last Modified
4/28/95		11/21/94	1/13/98	

U.S. EPA RECORDS CONTROL SCHEDULE

4)

SERIES TITLE: Compliance Activity Tracking System (CATS)   *Withdrawn*

PROGRAM: Pesticides

EPA SERIES NO: 235R

AGENCY FILE CODE: PEST 235

NARA SCHEDULE NO. N1-412-96-1/4

APPLICABILITY: Region 4

IDENTIFYING INFORMATION:
DESCRIPTION: The Compliance Activity Tracking System (CATS) is a program used to track routine, for cause, and secondary inspections on the State level; track data pertinent to case development; and generate report forms such as the 5700-33H. The States may enter and keep track of all inspections made, samples taken, cases developed and enforcement actions imposed. All data can be stored and reviewed at the user's discretion. The State agencies are able to send all data pertaining to their inspections, as well as apply to the Region for Federal grants. Through CATS the States can reference inspections made in other States that may pertain to inspections in their own. In addition, each State has a State specific data base, unique to each State, which can be used to track compliance and enforcement actions not covered by the cooperative agreement. A cumulative master data base of information, including site name, product name, action type, inspection type, product name, active ingredients, and responsible parties for cases in all States is kept in the regional system.

ARRANGEMENT:

TYPE OF RECORDS:
Data files

SPECIFIC RESTRICTIONS:
Enforcement Sensitive Information

MEDIUM:
Electronic, paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Compliance and enforcement activities

SPECIFIC LEGAL REQUIREMENTS:
Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Sections 5 & 26

Withdrawn

U.S. EPA RECORDS SCHEDULE

5) **SERIES TITLE:** Change Management Data

PROGRAM: Enterprise Technology Services Division

EPA SERIES NO: 301

AGENCY FILE CODE: INFO 301

NARA DISPOSAL AUTHORITY: N1-412-96-1/5

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:
DESCRIPTION: Contains information related to the addition, removal, or modification of hardware, system software, procedures, major telecommunications service, the physical facility or security of EPA computer systems at the National Computer Center at Research Triangle Park. Included in each data record is a description of the change, justification for making the change, the date the change is to occur, the system(s) that will be affected, and the impact of the proposed change.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS: Data files	**SPECIFIC RESTRICTIONS:**
MEDIUM: Electronic	**VITAL RECORD:** No
FUNCTIONS SUPPORTED: Systems management	
SPECIFIC LEGAL REQUIREMENTS: None	

EPA SERIES NO. 235R

Location: Region 4   Mail Code:

Inclusive Dates: Oct. 1992-   Telephone: 404-562-9012

Volume on Hand (Feet): 25,000   Office: Air, Pesticides & Toxics Div.
                        records

Annual Accumulation: 15,000   Room:
(feet or inches)   records

CONTROL INFORMATION:
RELATED ITEMS: EPA 003A, EPA 207A, EPA 211A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
4/28/95		10/6/94	6/25/98

EPA SERIES NO. 235R

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Electronic software program: Disposable	No
b. Input: Disposable	No
c. Electronic data: Permanent	No
d. Output and reports	Dependent on related records
e. Supporting documentation: Permanent	No

FILE BREAK INSTRUCTIONS:

a. Break when each major version is discontinued, when superseded by routine software updates, or system is terminated.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file every five years. Transfer only closed out records.

d. Follow file break instructions for related records.

e. Break file at end of each major version change or upon completion of phase in system life cycle. Bring forward active materials.

DISPOSITION INSTRUCTIONS:

a. For each major version change, maintain current version on tapes, cartridges, or other NARA accepted media for 7 years following procedures required in ETSD's Operational Policies Manual, Sections 200.01 and 200.02 on archiving data sets and records management. After 7 years, the tapes are to be destroyed by degaussing. For any routine software updates, delete software after quality assurance check is performed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Transfer ASCII or EBCDIC flat file as specified in 36 CFR 1228.188 annually to the National Archives.

d. Follow disposition instructions for related records.

e. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.188. Documentation is transferred along with the transfer of the electronic data flat file (item c).

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This system supports operations required by statute and regulations for compliance, enforcement, and grants.

AGENCY-WIDE GUIDANCE: Grants are scheduled as EPA 003A (except Superfund site specific). Regional enforcement and compliance records are covered in EPA 207A and EPA 211A, respectively.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	CONTACT POINT:
Name: Pesticides Sec., Pesticides & Toxic Substances Branch	Name: Jane Horton

DRAFT OF 12/27/93

U.S. EPA RECORDS CONTROL SCHEDULE

6) SERIES TITLE: Contracts Information System (CIS)   Withdrawn

PROGRAM: All Programs

EPA SERIES NO: 572A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: The Contracts Information System (CIS) contains descriptive,
milestone, and financial data on procurements in progress and on awarded
contracts. Also includes names and addresses of contractors. The system
tracks the status of procurement requests and provides summary information on
contracts. Assistant Administrators, as allowance holders, ascertain the
status of their commitments and obligations by their use of CIS monthly
output. Milestones are entered into the system for each contract, from the
initiating commitment through the retirement of the contract. Significant
information collected for each contract includes the title of the contract,
period of performance, estimated cost and obligated amounts, and type of
program effort.

ARRANGEMENT:

TYPE OF RECORDS: SPECIFIC RESTRICTIONS:
Reports, printouts, data files   Confidential Business Information

MEDIUM: VITAL RECORD:
Electronic, paper   No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:

Withdrawn

EPA SERIES NO. 572A

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Disposable   No

d. Output and reports: Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. File with appropriate case file or related records. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

b. Delete after expiration of the retention period authorized for the disposable paper copy or other electronic data system.

c. Maintain individual records at least 2 years after completion of action and then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: Records are used to track the Agency's contract procurement activities but are not necessary to document individual contracts. Paper records are disposable and scheduled separately.

AGENCYWIDE GUIDANCE: Policy & Management Support Staff of the Office of Administration and Resources Management is responsible for implementing the disposition for items a, c, and e. All related records held in other offices should be destroyed according to instructions for items b and d.

Monthly and other reports for CIS are normally included as part of program administration files.

Contract Management Records for programs other than Superfund are scheduled as EPA 202A and Superfund Site Specific contracts as EPA 020A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

EPA SERIES NO. 572A

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: OARM, OA, Procurement and   Name: John A. Oliver
Contracts Mgt. Div. Policy &
Management Support
Location: Mail Code: PM-214F

Inclusive Dates: Telephone: 202-260-8288

Volume on Hand (Feet):   Office:

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 020A, EPA 171A, EPA 202A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		8/9/93	12/27/93

DISPOSITION INFORMATION:

FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
Disposable   No

FILE BREAK INSTRUCTIONS: See disposition instructions.

DISPOSITION INSTRUCTIONS: Keep data online for 2 years. Transfer to an inactive archive data set for an additional 5 years, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Retention meets administrative needs of the office.

AGENCY-WIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: **CONTACT POINT:**

Name: OARM/OIRM   **Name:** Tom Birk

Location: RTP   **Mail Code:** MD 34

Inclusive Dates: 1986 - present   **Telephone:** 919-541-3533
Volume on Hand (Feet):   **Office:** ETSD
Approximately 10,500 records from
1988-1997
Annual Accumulation: **Room:** 368E
(feet or inches)
Approximately 1,000 records

CONTROL INFORMATION:

RELATED ITEMS:

**PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
4/28/95		7/14/94	10/16/98

DRAFT OF 8/22/94

U.S. EPA RECORDS CONTROL SCHEDULE

7) **SERIES TITLE:** Geographic Resources Information and Data System (GRIDS)   *Withdrawn*

PROGRAM: All Programs

EPA SERIES NO: 574A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Geographic Resources Information and Data System (GRIDS) provides national access to spatial data sets through a central facility. It contains a library of spatial tools for use in development of Geographic Information (GIS) applications. This centralized library provides a means of reducing costs during the development of GIS applications through sharing of both data and spatial tools. Spatial data sets retrievable through GRIDS provide data themes useful in a wide range of environmental GIS applications.

ARRANGEMENT:

TYPE OF RECORDS: **SPECIFIC RESTRICTIONS:**
Software, data files   None

MEDIUM: **VITAL RECORD:**
Electronic, paper   No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

Withdrawn

EPA SERIES NO. 574A

DISPOSITION INFORMATION:
FINAL DISPOSITION: TRANSFER TO FRC PERMITTED:
a. Electronic software programs:
Disposable   No

b. Electronic data: Disposable   No

c. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b and c. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check completed or when no longer needed.

b. Maintain data sets until superseded or no longer needed to support
development of GIS. Delete when no longer needed.

c. Keep in office up to 2 years after file break, then retire to FRC.
Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This system is essentially a library of spatial
tools and data. It promotes data sharing, data integration, and software
technology transfer across the Agency by providing basic common tools and data
that can be used in individual applications. Data used in a specific
application are included with that application.

AGENCY-WIDE GUIDANCE: The System Development and Maintenance Branch of the
Office of Administration and Resources Management is responsible for
implementing the disposition. Data used in a specific application in other
offices should be destroyed according to the disposition instructions for the
related records.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: OARM, OIRM, Program Systems   Name: Robert Pease
Div., System Development and
Maintenance Branch
Location: Mail Code: TM-228

Inclusive Dates: Telephone: 703-235-5587

Volume on Hand (Feet):   Office:

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS:

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

EPA SERIES NO. 574A

Approval Date EPA	Approval Date NARA	Entry Date 8/9/93	Last Modified 8/22/94

DRAFT OF 6/24/98

U.S. EPA RECORDS CONTROL SCHEDULE

8) **SERIES TITLE:** Grants Information & Control System (GICS)   *Withdrawn*

PROGRAM: All Programs

EPA SERIES NO: 575A

AGENCY FILE CODE: CONT 575

NARA SCHEDULE NO. N1-412-96-1/8
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Grants Information & Control System (GICS) is a national information management system containing administrative, project, and financial data for all EPA's grants, interagency agreements, and cooperative agreements. The system has the following components:

Municipal construction grants program - Provides information on wastewater treatment grant applications and active construction grant projects.

State revolving fund (SRF) program - Tracks federal funding provided to the States.

Non-construction grants program - Contains any program's nonconstruction grants information, including Superfund, Pesticides, and Research and Development.

Information is entered by Headquarters, Regions, or States. Input data includes data from automated systems. The system offers a customized data entry module, report writer, look-up tables, batch capabilities, and an online dictionary.

ARRANGEMENT:

TYPE OF RECORDS: **SPECIFIC RESTRICTIONS:**
Reports, printouts, data files   None

MEDIUM: **VITAL RECORD:**
Electronic, paper

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Public Works Employment Act of 1976

Withdrawn

EPA SERIES NO. 575A

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check completed or when no longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records at least 7 years after completion of grant or
agreement, then delete when no longer needed.

d. Follow disposition instructions for related records. Ad hoc and monthly
reports may be destroyed when no longer needed if not needed to document
program administration.

e. Keep in office up to 2 years after file break, then retire to FRC.
Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This national system is used by Headquarters,
Regions, and States to administer and monitor grants. It is used for program
planning and oversight, project tracking and management, and information
reporting. Proposed retention will meet all audit and litigation
documentation purposes. The paper records, scheduled separately, are
disposable.

AGENCY-WIDE GUIDANCE: The Grants Administration Division with the assistance
of the Enterprise Systems Division of the Office of Administration and
Resources Management is responsible for implementing the disposition of items
a, c, and e. All related records held in other offices should be destroyed
according to instructions for items b and d.

Ad hoc and monthly reports needed to document program management should be
included in program management files.

Grant records for programs other than Superfund are scheduled as EPA 003A and
Superfund site specific as EPA 001A. See EPA 232A for Waste Water
Construction and State Revolving Fund Grants.

EPA SERIES NO. 575A

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: OARM   Name: Kathleen Herrin (GAD)
                                               Betty McClaugherty (ESD)

Location: Mail Code:

Inclusive Dates: Telephone: 202-564-5346
                                                     202-260-5398

Volume on Hand (Feet):   Office: Grants Administration Div.
                                                  Enterprise Systems Div.

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 001A, EPA 003A, EPA 171A, EPA 232A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
11/14/95		8/10/93	6/25/98

DRAFT OF 6/25/98

U.S. EPA RECORDS CONTROL SCHEDULE

9)

SERIES TITLE: Facilities Index System (FINDS)   *Withdrawn*

PROGRAM: All Programs

EPA SERIES NO: 576A

AGENCY FILE CODE: IRMT 576

NARA SCHEDULE NO. N1-412-96-1/9
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Facilities Index System (FINDS) is an inventory of
information on facilities regulated or tracked by EPA programs. All
facilities are assigned unique Facility Identification numbers by FINDS which
serve as cross-reference numbers to facility information residing in other EPA
systems, such as the Permit Compliance System (PCS), the Aerometric
Information Retrieval System (AIRS), or the Comprehensive Environmental
Response, Compensation and Liability Information System (CERCLIS). System
phase out at the end of fiscal year 1998.

Information in the system includes: facility name, address, EPA Facility ID
code, Standard Industrial Classification (SIC) code, Dun & Bradstreet (DUNS)
number, source (program), source ID (program system ID) number, Indian Land
indicator, and federal facility indicator. Historic information is available
on-line and searchable.

ARRANGEMENT:

TYPE OF RECORDS:	**SPECIFIC RESTRICTIONS:**
Data files, reports, ad hoc queries	None

MEDIUM: **VITAL RECORD:**
Electronic, paper

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:

Withdrawn

EPA SERIES NO. 576A

DISPOSITION INFORMATION:

FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**

a. Electronic software program:
Disposable   No

b. Input   See EPA 171A - Input/Source Records

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check completed or when no longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records 7 years after system is discontinued.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC.
Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Information for FINDS is obtained from other source
systems and it does not contain any unique information. It does, however,
standardize name and address information and assigns the EPA ID number. FINDS
only shows which facilities occur in which program systems as an attempt to
integrate facility information across Agency systems.

AGENCY-WIDE GUIDANCE: Systems related to FINDS are scheduled as:

EPA 050A -   Comprehensive Environmental Response, Compensation and Liability
             Information System (CERCLIS)
EPA 058A -   Federal Facility Information System (FFIS)
EPA 252A -   Resource Conservation and Recovery Information System (RCRIS)
EPA 419A -   Permit Compliance System (PCS)
EPA 496A -   Aerometric Information Retrieval System (AIRS)
EPA 587A -   Enforcement Docket System (DOCKET)

Other related systems such as Chemicals in Commerce Information System (CICS)
are covered in other disposable systems such as Bibliographic and Reference
Systems, EPA 088A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

EPA SERIES NO. 576A

CUSTODIAL INFORMATION:

CONTROLLING UNIT: **CONTACT POINT:**

Name: OARM   **Name:** Daisy Berlingeri

Location: **Mail Code:** 3409

Inclusive Dates: **Telephone:** 202-260-1786

Volume on Hand (Feet):   **Office:** Enterprise Systems Div.

Annual Accumulation: **Room:**
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 050A, EPA 058A, EPA 171A, EPA 252A, EPA 419A, EPA 496A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
11/14/95		9/1/93	6/25/98

DRAFT OF 7/22/98

U.S. EPA RECORDS CONTROL SCHEDULE

10) **SERIES TITLE:** Superfund Financial Assessment System (SFFAS)

PROGRAM: Enforcement and Compliance Assurance

EPA SERIES NO: 685A

AGENCY FILE CODE: ENFO 685

NARA SCHEDULE NO. N1-412-96-1/10
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Superfund Financial Assessment System (SFFAS) is a computer application designed to calculate the remedial costs a responsible party can theoretically afford to pay for the cleanup of a site. The system is inactive.

ARRANGEMENT:

TYPE OF RECORDS:	SPECIFIC RESTRICTIONS:
Reports, printouts, data files	Enforcement Sensitive Information

MEDIUM:	VITAL RECORD:
Paper, electronic	

FUNCTIONS SUPPORTED:
Enforcement activities

SPECIFIC LEGAL REQUIREMENTS:

EPA SERIES NO. 685A

DISPOSITION INFORMATION:
FINAL DISPOSITION: TRANSFER TO FRC PERMITTED:
a. Electronic software program:
Disposable   No

b. Input   Dependent on related records

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b. Follow file break instructions for related records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check completed or when no longer needed.

b. Follow disposition instructions for related records.

c. Maintain individual records for at least 2 years after completion of
action and then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC.
Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: System documentation must be kept to support
litigation, cost recovery efforts, and mission-critical decisions.

AGENCY-WIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: Office of Enforcement and   Name: Charlene Swibas
Compliance Assurance

Location: NEIC, Denver   Mail Code:

Inclusive Dates: Telephone: 303-969-5151

Volume on Hand (Feet):   Office: Criminal Enforcement, Forensics,
                                        and Training

EPA SERIES NO. 685A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS:

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
7/17/95		11/3/93	7/22/98

DRAFT OF 5/15/98

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Consolidated Index System (CIS)

PROGRAM: Inspector General

EPA SERIES NO: 706A

AGENCY FILE CODE: INSP 706

NARA SCHEDULE NO. N1-412-96-1/11
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

**IDENTIFYING INFORMATION:**
DESCRIPTION: The Consolidated Index System (CIS) searches existing Office of Inspector General data bases for a match of the input name. This is useful in determining if that entity has previously been the subject of an audit, investigation, suspension, debarment, personnel security, or hotline action. Plans are underway to phase out the system in October 1998 and replace with the Inspector General Operating and Reporting (IGOR) system.

ARRANGEMENT:

TYPE OF RECORDS:	**SPECIFIC RESTRICTIONS:**
Data files, reports, ad hoc queries	
MEDIUM:	**VITAL RECORD:**
Electronic, paper	

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:

EPA SERIES NO. 706A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a. Electronic software program: Disposable	No
b. Input	See EPA 171A - Input/Source Records
c. Electronic data: Disposable	No
d. Output and reports	Dependent on related records
e. Supporting documentation: Disposable	Yes

FILE BREAK INSTRUCTIONS:

a. Break file when superseded by routine software updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:

a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records 2 years after completion of action and then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Information for CIS is obtained from other source systems and does not contain any unique information.

AGENCY-WIDE GUIDANCE: Systems related to CIS include:

PATS - Prime Audit Tracking System, included as part of EPA 090A - Administrative Support Data Bases.
ITS - Investigation Tracking System, included as part of EPA 090A.
PSS - Personnel Security System, included as part of EPA 090A.
SDS - Suspension and Debarment System, scheduled as EPA 707A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	**CONTACT POINT:**
Name: OIG	**Name:** Joyce B. Williams
Location: WSM	**Mail Code:** 2441
Inclusive Dates:	**Telephone:** 202-260-3517

EPA SERIES NO. 706A

Volume on Hand (Feet):   Office: IRM

Annual Accumulation: Room: NE 3606
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 090A, EPA 707A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
4/26/95		11/5/93	6/15/98

U.S. EPA RECORDS CONTROL SCHEDULE

12)

SERIES TITLE: Suspension and Debarment System (SDS)   *Withdrawn*

PROGRAM: Inspector General

EPA SERIES NO: 707A

AGENCY FILE CODE: INSP 707

NARA SCHEDULE NO. N1-412-96-1/12
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Suspension and Debarment System (SDS) is a control and
tracking system specifically for suspension and debarment cases. This system
identifies all EPA suspension and debarment cases initiated August 17, 1982 to
October 1, 1992. After October 1, 1992, the system identifies only Office of
Inspector General cases. The system also shows the history and disposition of
all closed cases, and the current status of all open cases.

ARRANGEMENT:

TYPE OF RECORDS: Data files, reports, ad hoc queries	**SPECIFIC RESTRICTIONS:**
MEDIUM: Electronic, paper	**VITAL RECORD:**

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:

Withdrawn

EPA SERIES NO. 707A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Electronic software program: Disposable	No
b. Input	Dependent on related records
c. Electronic data: Disposable	No
d. Output and reports	Dependent on related records
e. Supporting documentation: Disposable	Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b. Follow file break instructions for related records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS: ·
a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

b. Follow disposition instructions for related records.

c. Maintain individual records at least 2 years after completion of action and then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: SDS is an administrative system used for program evaluation and compliance or enforcement activities.

AGENCY-WIDE GUIDANCE: Suspension and Debarment Files are scheduled as EPA 702A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	CONTACT POINT:
Name: Office of Inspector General	Name: Charles Lewis
Location: WSM	Mail Code: 2431
Inclusive Dates: 1982-	Telephone: 202-260-7680
Volume on Hand (Feet):	Office: Asst. Inspector General for Investigations

EPA SERIES NO. 707A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 702A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
4/28/95		11/5/93	6/25/98

DRAFT OF 9/16/98

U.S. EPA RECORDS CONTROL SCHEDULE

13) **SERIES TITLE:** Underground Injection Control Data Bases   *Withdrawn*

PROGRAM: Water

EPA SERIES NO: 234R

NARA SCHEDULE NO. N1-412-96-1/13

APPLICABILITY: Regions   DRAFT

IDENTIFYING INFORMATION:
DESCRIPTION: The Underground Injection Control (UIC) data bases contain
detailed information on well operators, administrative orders, permits and
individual wells, for all wells where EPA is the permitting authority.

ARRANGEMENT: Not applicable

TYPE OF RECORDS: **SPECIFIC RESTRICTIONS:**
Data files, printouts, forms   Enforcement Sensitive

MEDIUM: **VITAL RECORD:**
Electronic, paper   No

FUNCTIONS SUPPORTED:
Permitting, compliance and enforcement

SPECIFIC LEGAL REQUIREMENTS:

Withdrawn

EPA SERIES NO. 234R

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Permanent   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Permanent   No

FILE BREAK INSTRUCTIONS:
a. Break when each major version is discontinued, when superseded by routine software updates, or when system is terminated or discontinued.

b. Break file according to instructions in EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file at the end of each major version change.

DISPOSITION INSTRUCTIONS:
a. For each major version change, maintain a current version following procedures required in ETSD's Operations Policies Manual or delete when no longer needed to support program mission.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Transfer ASCII or EBCDIC flat file to the National Archives annually as specified in 36 CFR 1228.188.

d. Follow disposition instructions for the related records.

e. Transfer those records necessary to document how the system captures, manipulates, and outputs data as specified in 36 CFR 1228.188 to the National Archives. This documentation would be transferred along with the electronic data flat file (item c).

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This item covers a number of regionally produced data bases which track information on actions related to individual wells covered by the Safe Drinking Water Act (Part C of the Safe Drinking Water Act, as amended, 42 U.S.C. §300h et seq.) to protect underground sources of drinking water. Implementation varies from region to region.

AGENCY-WIDE GUIDANCE: UIC permits are covered in EPA 205A. See EPA 207A for enforcement files and EPA 211A for compliance files.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: Multiple units   **CONTACT POINT:**

Name: **Name:**

Location: **Mail Code:**

EPA SERIES NO. 234R

Inclusive Dates: Telephone:

Volume on Hand (Feet):   Office:

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 205A, EPA 207A, EPA 211A, EPA 432A, EPA 448A

PREVIOUSLY APPROVED BY   DRAFT
NARA SCHEDULE NOS:

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
12/13/96		9/5/94	9/16/98

EPA Records Schedule 447

Status: Final, 10/31/2007

14) **Title:** Environmental Monitoring and Assessment Program Information Management System (EMAP IMS)

Program: Research and Development

Applicability: National Health and Environmental Effects Research Laboratory (NHEERL)

Function: 316 - Applied Research and Science Support

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/14

Description:

The EMAP IMS is a scientific system developed and implemented to support collection, analysis, documentation, and dissemination of environmental and ecosystem monitoring and assessment information. System components include a distributed databases, a database housing spatial information, documented EMAP data sets and EMAP documents. The system has been active since 1992. Since 1994 the system has been available through the EMAP Web site.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**

- Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed to support program mission.

Item b: Input

- **Disposable**

- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Permanent**

- Transfer data every 2 years to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time.

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Permanent**

- Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time. This documentation would be transferred along with the electronic data (item c).

Guidance:

From 1990 to 1992 various labs were collecting data. In 1992, the system was created for centralized collection. The system redesign was completed in 1996. Data continues to be collected. Very little data was collected in FY 1996 and a substantial amount of data was collected for FY 1997. Access is through the EPA Web site.

Reasons for Disposition:

This system is used to support EMAP scientific activities that target ecological risk assessment.

Custodians:

Office of Research and Development, Environmental Effects Research Laboratory, Atlantic Ecology Division

- **Contact:** Steven Hale
- **Telephone:** 401-782-3048

Related Schedules:

EPA 171, EPA 304

Previous NARA Disposal Authority:

Entry: 09/30/1996

EPA Approval: 12/19/1996

NARA Approval: 01/20/1999

462A

U.S. EPA RECORDS CONTROL SCHEDULE

15)

SERIES TITLE: AREAL-RTP Acid Rain System (SAD)   *withdraw*

PROGRAM: Research and Development

EPA SERIES NO: 462A

NARA SCHEDULE NO.   Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: The Acid Rain Data Base contains data collected during the course of a study of acid precipitation in the United States, Canada, and other foreign countries.   Data is gathered from EPA and other government agencies and is updated quarterly.   Data is used for research and trend assessment.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS: SPECIFIC RESTRICTIONS:
Reports, printouts, data files   None

MEDIUM: VITAL RECORD:
Electronic, paper, forms   No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Clean Air Act, as amended, Sec. 111d

Withdrawn

EPA SERIES NO. 462A

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Electronic software program: Disposable	No
b. Input: Disposable	No
c. Electronic data: Permanent	No
d. Output and reports	Dependent on related records
e. Supporting documentation: Permanent	No

FILE BREAK INSTRUCTIONS:
a. Break following each major or routine version change.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Break file according to instructions for related records.

e. Break file at the end of each major version change.

DISPOSITION INSTRUCTIONS:
a. For each major version change, maintain current version on tapes or cartridges for 7 years following procedures required in NDPD's Operational Policies Manual, Sections 200.01 and 200.02 on archiving data sets and records management. After 7 years, the tapes are to be destroyed by degaussing. For any routine software updates, delete software after quality assurance check is performed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Transfer ASCII or EBCDIC flat file of data on new or recertified one-half inch, 9 track tape or cartridge annually to the National Archives along with tape layout, block size, and other tape specifications.

d. Follow disposition instructions for related records.

e. Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives in either paper or electronic form on new or recertified one-half inch, 9 track tape or cartridge written in ASCII or EBCDIC. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. This documentation would be transferred along with the transfer of the electronic data flat file (item c).

REASONS FOR DISPOSITION: This sytem has been identified as a major priority system by the NAPA II study commissioned by the National Archives.

AGENCYWIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

EPA SERIES NO. 463A

DISPOSITION INFORMATION:
FINAL DISPOSITION: TRANSFER TO FRC PERMITTED:
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break when superseded by routine software program updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check is completed or when no longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Keep at least 3 years or until no longer needed, then delete.

d. Follow disposition instructions for related records.

e. Keep in office at least 1 year, then retire to FRC. Destroy when 15 years
old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: System documentation must be kept to support
litigation, cost recovery efforts, and mission-critical decisions.

AGENCYWIDE GUIDANCE: System users should be sure to document results of the
analysis completely. Complete documentation may require results, input data
used, search parameters, software used, or similar information to ensure a
complete record suitable for litigation support, if necessary, is maintained.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: ORD/Cincinnati   Name: Daniel Greathouse

Location: Mail Code:

Inclusive Dates: Telephone: 513-569-7869

Volume on Hand (Feet):   Office:

EPA SERIES NO. 463A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date 3/1/93	Last Modified 5/19/93

DRAFT OF 5/19/93

withdrawn

U.S. EPA RECORDS CONTROL SCHEDULE

16) SERIES TITLE: Applicable Relevant and Appropriate Assistant (ARARS)

PROGRAM: Research and Development

EPA SERIES NO: 463A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: This system will aid those responsible for cleaning up Superfund sites and determine clean-up requirements for the sites. Data sources include required reporting entities and EPA.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS: SPECIFIC RESTRICTIONS:
Reports, printouts, data files   None

MEDIUM: VITAL RECORD:
Electronic, paper, forms   No

FUNCTIONS SUPPORTED:
Enforcement activities

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation, and Liability Act, as
  amended

Withdrawn

EPA SERIES NO. 462A

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: ORD/AREAL/RTP, Exposure   Name: James Reagan
Assessment Research Division
Location: Mail Code: MD-56

Inclusive Dates: Telephone: 919-541-4486

Volume on Hand (Feet):   Office:

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date 3/1/93	Last Modified 6/21/93

17)

DRAFT OF 5/19/93

U.S. EPA RECORDS CONTROL SCHEDULE

Withdrawn

SERIES TITLE: CP-1 Graphical Display System for the Nevada Test Site (CP-1)

PROGRAM: Research and Development

EPA SERIES NO: 465A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: The CP-1 graphics system is used during events at the Nevada Test Site to display monitoring information.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:	**SPECIFIC RESTRICTIONS:**
Reports, printouts, data files	None
MEDIUM:	**VITAL RECORD:**
Electronic, paper, forms	No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

Withdrawn

EPA SERIES NO. 465A

FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break when superseded by routine software program updates.

b. Follow file break instructions for EPA 171A – Input/Source Records.

c. Break file when superseded.

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check is completed or when no longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A – Input/Source Records.

c. Keep at least 3 years or until no longer needed, then delete.

d. Follow disposition instructions for related records.

e. Keep in office at least 1 year after file break, then retire to FRC.
Destroy when 15 years old.

REASONS FOR DISPOSITION: System documentation must be kept to support
mission-critical decisions.

AGENCYWIDE GUIDANCE: System users should be sure to document results of the
analysis completely. Complete documentation may require results, input data
used, search parameters, software used, or similar information to ensure a
complete record is maintained.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CONTROLLING UNIT: **CONTACT POINT:**

Name: ORD/OMMSQA/EMSL, Las Vegas   **Name:** Norm Sunderland

Location: **Mail Code:** NRS

Inclusive Dates: **Telephone:** 702-798-2538

Volume on Hand (Feet):   **Office:**

EPA SERIES NO. 465A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/1/93	5/19/93

EPA SERIES NO. 467A

DISPOSITION INFORMATION:
FINAL DISPOSITION: TRANSFER TO FRC PERMITTED:
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break when superseded by routine software program updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded

d. Follow file break instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check completed or when no longer needed.

b. Follow the ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records at least 2 years after completion of action,
or until no longer needed, then delete.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC.
Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: Data are gathered from consent decrees and are not,
in themselves, unique. Data have very limited timeframes (1 year) and are of
limited use.

AGENCYWIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: ORD/EMSL-Las Vegas/Aquatic   Name: William Engelmann
and Subsurface Monitoring Branch
Location: Mail Code: AMW

Inclusive Dates: Telephone: 702-798-2664

Volume on Hand (Feet):   Office:

DRAFT OF 5/20/93

U.S. EPA RECORDS CONTROL SCHEDULE   *withdrawn*

18) SERIES TITLE: Hazardous Waste Site Data Base (Indicator Parameters) (HWSD)

PROGRAM: Research and Development

EPA SERIES NO: 467A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: The Hazardous Waste Site Data Base (Indicator Parameters) (HWSD) consists of consent decree Superfund and RCRA site monitoring groundwater data collected around 1986. It contains data for more than 5,000 wells at over 350 hazardous waste sites nationwide. A total of 944 chemical constituents have been identified and recorded in the data base. The data is used for development of regulations or standards, trend assessment, and analysis.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:	SPECIFIC RESTRICTIONS:
Reports, printouts, data files	Confidential Business Information

MEDIUM:	VITAL RECORD:
Electronic, paper, forms	No

FUNCTIONS SUPPORTED:
Program operations and regulatory development

SPECIFIC LEGAL REQUIREMENTS:
Resource Conservation and Recovery Act, as amended

Withdrawn

EPA SERIES NO. 467A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/1/93	5/20/93

U.S. EPA RECORDS CONTROL SCHEDULE

19)

SERIES TITLE: Integrated Risk Information System (IRIS)   *Withdrawn*

PROGRAM: Research and Development

EPA SERIES NO: 468A

NARA SCHEDULE NO. N1-412-96-1/19

APPLICABILITY: Agency-wide

DRAFT

IDENTIFYING INFORMATION:

DESCRIPTION: The Integrated Risk Information System (IRIS) data base contains summary information related to human health risk assessment. IRIS, which is updated monthly, is the Agency's primary vehicle for communication of chronic health hazard information representing EPA consensus positions following comprehensive review by intra-Agency work groups. It is a useful information resource tool that points the user to the underlying human and/or animal data used to support the Agency's opinion. The system contains hazard identification and dose-response risk information for approximately 500 chemicals.

IRIS is comprised of three sections: noncancer health effects resulting from oral exposure, noncancer health effects resulting from inhalation exposure, and carcinogenic assessment for both oral and inhalation exposure. It contains full bibliographic citations for each substance file, directing the user to the primary cited studies and pertinent scientific literature. Other information such as summaries of Drinking Water Health Advisories and EPA regulatory actions, is included in IRIS. IRIS is accessible to the public as well as EPA staff.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Reports, printouts, data files

SPECIFIC RESTRICTIONS:
Confidential Business Information

MEDIUM:
Electronic, paper, forms

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations and public awareness

SPECIFIC LEGAL REQUIREMENTS:
None

Withdrawn

EPA SERIES NO. 460A

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Electronic software program:
Disposable   No

b. Input   Dependent on related records

c. Electronic data: Permanent   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Permanent   No

FILE BREAK INSTRUCTIONS:
a. Break following each major or routine version change.

b. Break file according to instructions for related records.

c. Break file when superseded.

d. Break file according to instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. For each major version change, maintain current version following
procedures required in ETSD's Operational Policies Manual.

b. Follow disposition instructions for related records.

c. Transfer ASCII or EBCDIC flat file of data as specified in 36 CFR 1228.188
annually to the National Archives.

d. Follow disposition instructions for related records.

e. Transfer those records necessary to document how the system captures,
manipulates, and outputs data to the National Archives as specified in 36 CFR
1228.188. This documentation would be transferred with the electronic data
flat file (item c).

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: IRIS was developed in response to a growing demand
for consistent chemical substance risk information, representing EPA consensus
opinions, for use in decisionmaking and regulatory activities. It is intended
to serve as a pointer system to more detailed data contained in supporting
scientific studies.

AGENCY-WIDE GUIDANCE: Input records are included in EPA 460H - IRIS
Documentation Files.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: **CONTACT POINT:**

Name: ORD   **Name:** Pat Daunt

Location: Cincinnati   **Mail Code:** MS-190

EPA SERIES NO. 468A

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 460A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Telephone: 513-569-7596

Office: National Center for Environ-
mental Assessment

Room: 193

DRAFT

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
12/19/98		3/1/93	8/20/98

EPA Records Schedule 471

Status: Final, 02/20/2007

20) **Title:** Pesticide and Industrial Chemical Risk Analysis and Hazard Assessment (PIRANHA)

Program: Research and Development Laboratories

Applicability: National Exposure Research Laboratory (NERL)

Function: 316-258-02 - Ecological Research

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/20

Description:

The Pesticide and Industrial Chemical Risk Analysis and Hazard Assessment (PIRANHA) system is a tool kit for conducting ecological risk assessments of synthetic organic chemicals. It includes databases of agricultural practices, biographical distribution of species at risk, meteorology and soils, and ecosystem factors controlling mobility and persistence of pesticides and industrial chemicals in the natural environment. The system incorporates a geographic information system database for regional site properties, and linked simulation models for chemical data needed for biological and ecological risk assessments.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**

- Delete when superseded by routine software program updates and quality assurance check completed or until no longer needed.

Item b: Input

- **Disposable**

- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Disposable**

U.S. EPA RECORDS CONTROL SCHEDULE

21) **SERIES TITLE:** NRMRL Treatability Data Base (NRMRL TDB) *Withdrawn*

PROGRAM: Research and Development

EPA SERIES NO: 474A

NARA SCHEDULE NO. N1-412-96-1/21
(Use this number of retire records to FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The NRMRL Treatability Data Base (NRMRL TDB) is designed to assist in selecting technologies or estimating the degree of treatment achievable for specific chemicals in all types of waters and wastewaters, soils, sediments and debris. The data is extracted from literature sources and EPA reports and is used for analysis, technology development, and research. The data, which is updated annually, is available to the public.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:	**SPECIFIC RESTRICTIONS:**
Reports, printouts, data files	None

MEDIUM:	**VITAL RECORD:**
Electronic, paper, forms	No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

Withdrawn

EPA SERIES NO. 474A

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break when superseded by routine software updates.

b. Break file according to EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Break file according to instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates and quality
assurance check completed or when no longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records at least 2 years after file break, then delete
when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office up to 2 years after file break, then retire to FRC.
Destroy when 15' years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: Data consists of information extracted from
publically-available sources. Retention meets program needs.

AGENCYWIDE GUIDANCE:

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: **CONTACT POINT:**

Name: ORD/NRMRL   **Name:** Subhas Sikdar

Location: Cincinnati   **Mail Code:**

Inclusive Dates: **Telephone:** 513-569-7528

Volume on Hand (Feet):   **Office:** National Risk Management
                                         Research Lab.

- Maintain individual records for at least 2 years, then delete when no longer needed.

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Disposable**

- Destroy when 15 years old.

Guidance:

System users should be sure to document results of analyses completely. Complete documentation may require results, input data used, search parameters, software used, or similar information to ensure a complete record is maintained.

Reasons for Disposition:

System documentation must be kept to support litigation and mission-critical decisions.

Custodians:

Office of Research and Development, Ecosystems Research Division

- **Contact:** Lawrence Burns
- **Telephone:** 706-355-8119

Related Schedules:

EPA 171

Previous NARA Disposal Authority:

Entry: 03/01/1993

EPA Approval: 12/19/1996

NARA Approval: 01/20/1999

DRAFT OF 5/20/93

U.S. EPA RECORDS CONTROL SCHEDULE

Withdrawn

22) SERIES TITLE: Superfund Differing Site Conditions System (SUPERDISC)

PROGRAM: Research and Development

EPA SERIES NO: 476A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: This system will help Regional Project Managers review requests by Remediation Contractors for changes in their contracts to reflect differing site conditions.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS: SPECIFIC RESTRICTIONS:
Reports, printouts, data files   None

MEDIUM: VITAL RECORD:
Electronic, paper, forms   No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation, and Liability Act, as
    amended

Withdrawn

EPA SERIES NO. 474A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date 3/1/93	Last Modified 5/15/97

EPA SERIES NO. 476A

DISPOSITION INFORMATION:
FINAL DISPOSITION: TRANSFER TO FRC PERMITTED:
a. Electronic software program:
Disposable   No

b. Input Disposable   No

c. Electronic data: Disposable   No

d. Output and reports   Dependent on related records

e. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Break file according to instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Keep version at least 5 years after it is superseded or until no longer
needed, whichever is later, then delete.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records at least 2 years after completion of action,
then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office at least 1 year, then retire to FRC. Destroy when 15 years
old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: System documentation must be kept to support
litigation, cost recovery efforts, and mission-critical decisions.

AGENCYWIDE GUIDANCE: System users should be sure to document results of
analyses completely. Complete documentation may require results, input data
used, search parameters, software used, or similar information to ensure a
complete record suitable for litigation support, if necessary, is maintained.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:
CONTROLLING UNIT: CONTACT POINT:

Name: ORD/Cincinnati   Name: Daniel Greathouse

Location: Mail Code:

Inclusive Dates: Telephone: 513-569-7869

Volume on Hand (Feet):   Office:

EPA SERIES NO. 476A

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date 3/1/93	Last Modified 5/20/93

477A

U.S. EPA RECORDS CONTROL SCHEDULE

Withdrawn

23) **SERIES TITLE:** Thermoluminescent Dosimetry Instrument Control and Database Management System (TLD)

PROGRAM: Research and Development

EPA SERIES NO: 477A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: The Thermoluminescent Dosimetry (TLD) Instrument Control and Database Management System (TLD) controls all aspects of the operation of the TLD readers, including reading of raw data files, tracking of reader and TLD OA/OC parameters, on-line OC, calibration of TLD reders, maintaining a history-use data base documenting the life-time of ech individual TLD, and calculating absorbed dose equivalent based on fully corrected raw data results. This is accomplished through a proprietary software package obtained from International Science Associates (ISA) of Marietta, GA. Limited graphic capability is provided through use of the Saturn Graphics software package included with the ISA software.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Reports, printouts, data files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Electronic, paper, forms

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:

Withdrawn

EPA SERIES NO. 477A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Electronic software program: Disposable	No
b. Input: Disposable	No
c. Electronic data: Disposable	No
d. Output and reports	Dependent on related records
e. Supporting documentation: Disposable	Yes

FILE BREAK INSTRUCTIONS:
a. Break file when superseded by routine software updates.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. Break file according to instructions for related records.

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:
a. Retain a version at least 5 years after it is superseded, or until no longer needed, whichever is later, then delete.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records at least 2 years after completion of action, then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Hold documentation in office at least 1 year after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: System documentation must be kept to support mission-critical decisions. Data are Level 3.

AGENCYWIDE GUIDANCE: System users should be sure to document results of analyses completely. Complete documentation may require results, input data used, search parameters, software used, or similar information to ensure a complete record is maintained.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	CONTACT POINT:
Name: EMSL-Las Vegas (NRD)	Name: Bruce B. Dicey
Location:	Mail Code: NRD
Inclusive Dates:	Telephone: 702-798-2320
Volume on Hand (Feet):	Office:

EPA SERIES NO. 477A

Annual Accumulation: **Room:**
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/1/93	6/21/93

DRAFT OF 10/10/96

U.S. EPA RECORDS CONTROL SCHEDULE

24) SERIES TITLE: Special Software Programs   Withdrawn

PROGRAM: All programs

EPA SERIES NO: 159A

NARA SCHEDULE NO. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: These are specially designed computer programs which provide the
user with the capability to transfer data, manipulate data, collect special
types of data, integrate data and/or develop interface systems. The programs
are not: (a) required by law, or (b) necessary to document program activities.

ARRANGEMENT:

TYPE OF RECORDS: SPECIFIC RESTRICTIONS:
Electronic   None

MEDIUM: VITAL RECORD:
Electronic   No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

Withdrawn

EPA SERIES NO. 159A

DISPOSITION INFORMATION:
FINAL DISPOSITION: TRANSFER TO FRC PERMITTED:
a. Electronic software program:
Disposable   No

b. Input: Disposable   No

c. Electronic Data: Disposable   No

d. Output and Reports   Dependent on related records

b. Supporting documentation:
Disposable   Yes

FILE BREAK INSTRUCTIONS:
a. Delete when superseded by routine software updates or when no longer
needed.

b. Break file according to instructions for EPA 171A - Input/Source Records.

c. Break file when superseded.

d. File with appropriate case files or related records. Follow file break
instructions for related records.

e. Break file according to instructions for EPA 304A - System Documentation.

DISPOSITION INSTRUCTIONS:
a. Delete when superseded by routine software program updates or when no
longer needed.

b. Follow ~~disposition~~ instructions for EPA 171A - Input/Source Records.

c. Maintain individual records for at least 2 years after completion of
action and then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Follow disposition instructions for EPA 304A - System Documentation.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: The software programs provide the users access to
extracted data from a variety of agency and non-agency databases. These
programs also provide interfaces for interactive applications which can be
used with various models.

AGENCY-WIDE GUIDANCE: Application software used solely to maintain a master
file or database authorized for disposal in a General Records Schedule item or
a NARA-approved schedule is covered in EPA 179A - Special Purpose Programs.

This item covers the following applications:

Annie Interactive Development Environment (AIDE)
Data DX (DX)
Ecotoxicology Database Retrieval System (ECOTOX)
Integrated Data for Enforcement Analysis (IDEA)
Screening Information System/LAN (SIS/L)
Streamwalk (SWS)
Toxic Release Inventory Quick Analysis Tool Kit (TRIPQUIC)

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

EPA SERIES NO. 159A

CUSTODIAL INFORMATION:
CONTROLLING UNIT: Multiple units   CONTACT POINT:

Name: Name:

Location: Mail Code:

Inclusive Dates: Telephone:

Volume on Hand (Feet):   Office:

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 171A, EPA 179A, EPA 304A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		9/4/96	10/10/96

DRAFT OF 8/12/98

U.S. EPA RECORDS CONTROL SCHEDULE

25) **SERIES TITLE:** Web Sites   *Withdrawn*

PROGRAM: All Programs

EPA SERIES NO: 095A

NARA SCHEDULE NO. N1-412-96-1/25
(Use this number to retire records to the FRC)   **DRAFT**

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes a broad range of systems used to provide ready, user-friendly access to frequently used information in a "public forum" format using the Internet and the World Wide Web. Announcements and messages can be read by any user. Information may be drawn from Agency records, publicly available sources or a combination of sources.

Web sites are not a specific type of record, but a means of providing access to a broad variety of records with varying retentions. Information is brought together to simplify access and provide specialized support for specific information needs. Web sites are often used to distribute software programs, models, textual, video, sound or image files.

This schedule item covers the software used to maintain the sites, the informational content, and records concerning the management of the site. It provides guidance on determining the retention and disposition of the records posted on the Web site. It covers both Internet and Intranet sites.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:	**SPECIFIC RESTRICTIONS:**
Reports, printouts, data files	Privacy Act
MEDIUM:	**VITAL RECORD:**
Electronic, paper	No

FUNCTIONS SUPPORTED:
Public awareness and program operations

SPECIFIC LEGAL REQUIREMENTS:
Electronic Freedom of Information Act Amendments of 1996

Withdrawn

EPA SERIES NO. 095A

DISPOSITION INFORMATION:
FINAL DISPOSITION: **TRANSFER TO FRC PERMITTED:**
a.   Electronic system software:
Disposable   No

b.   Input   Dependent on related records

c.   Electronic data   Dependent on related records

  (1) Record copy

  (2) Dissemination/Access copy

d.   Output and reports   Dependent on related records

e.   Supporting documentation:
Disposable   Yes

f.   Administrative records

  (1) Site management records:
Disposable   No

  (2) Cumulative statistics:
Disposable   Dependent on related records

  (3) Site content records:
Disposable   Yes

g.   Electronic versions created
by office automation systems   No

FILE BREAK INSTRUCTIONS:
a.   Break file when superseded by routine software updates or system is
terminated.

b.   Break file according to file break instructions for related records.

c.   Break file when superseded.

d.   File with appropriate case files or related records. Follow file break
instructions for related records.

e.   Break file according to instructions for EPA 304A - Systems Documentation.

f and g.   See disposition instructions.

DISPOSITION INSTRUCTIONS:
a.   Delete when superseded by routine software updates and quality assurance
check completed or when no longer needed.

b.   Maintain with related program records and follow disposition instructions
for related records.

c.   Determine whether material on the Web site is the record copy or the
Dissemination/Access copy. (See Agency-wide guidance for further
information.)

  (1) Record copy - Maintain for the period of time data would be maintained
in hard copy, then follow disposition instructions for the applicable records
schedules.

EPA SERIES NO. 095A

(2) Dissemination/Access copy - Delete when superseded or no longer needed for dissemination/access purposes.

d. Follow disposition instructions for related records.

e. Follow disposition instructions for EPA 304A - Systems Documentation.

f(1). Records concerning management of the site, hits recorded (system user logs), etc. Destroy when 3 months old.

(2). Cumulative statistics on the site: File with program management files, and follow disposition instructions for related records.

(3). Records concerning what was posted on the site; when it was posted; what it contained and when it was replaced. If maintained in paper, keep in office at least 1 year, then retire to FRC. Destroy when 7 years old. If maintained electronically, delete when 7 years old.

g. Delete when record copy is generated or when no longer needed for reference or updating, not to exceed the retention of the record copy.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: Records posted to Web sites are covered in records disposition schedules for the related records. This schedule item covers the software used for the Web site and records concerning the management of the site. Retention is adequate for Agency needs.

AGENCY-WIDE GUIDANCE: Programs must have a written policy on the management of Web sites, including how they are managed, what is posted, when it is posted, and whether the Web copy is the official Agency record or the dissemination/access copy. This written policy must document the appropriate record format (paper, electronic, microfilm, etc.) and applicable records schedule for those materials that are unique Web site records. Material created specifically for the site that meets the definition of Federal records, and are not maintained in hard copy, must be retained according to the appropriate records schedule.

Programs need to pay particular attention to Web information with potential regulatory, enforcement, or other legal impact. If a program is offering guidance to the regulated community, it needs to keep a complete record of what guidance was offered and for what time period that guidance was posted on the site. Substantive changes are those which give advice or guidance on compliance with environmental matters. Changes to the site administrative content records, such as major additions or deletions that might affect decisions or actions by the public or regulated community are covered under item f(3). Editorial or nonsubstantive changes do not need to be kept.

Electronic Bulletin Boards are scheduled as EPA 094A. Records related to policy on site management are covered by EPA 006A - Program Management Files.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: This schedule includes (but is not limited to) the following systems:

Community-Based Environmental Protection (CBEP)

CUSTODIAL INFORMATION:
CONTROLLING UNIT: Multiple units   **CONTACT POINT:**

Name: **Name:**

Location: **Mail Code:**

EPA SERIES NO. 095A

Inclusive Dates: Telephone:

Volume on Hand (Feet):   Office:

Annual Accumulation: Room:
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 006A, EPA 094A, EPA 304A   DRAFT

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
12/13/96		10/29/96	8/12/98

EPA Records Schedule 238

Status: Final, 04/30/2007

2c) **Title:** New York Bight Water Quality Helicopter Monitoring System (R2NY-BIGHT)

Program: Water

Applicability: Region 2

Function: 108-023-02 - Water Monitoring and Forecasting

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/26

Description:

Water quality samples are collected from 26 Long Island coast stations, 44 New Jersey coast stations, 15 stations in selected locations for phytoplankton identification and 10 coastal intersects (50 stations). Data is available from 1977 to the present.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**

- Delete when superseded by routine software updates or when no longer needed.

Item b: Input

- **Disposable**

- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic Data

- **Disposable**

- Delete records 2 years after completion of action.

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for related records.

Item e: Supporting Documentation

- **Disposable**

- Follow instructions for EPA 304 - Systems Documentation.

Guidance:

The Storage and Retrieval of Water Quality Information (STORET) is scheduled as EPA 400.

Reasons for Disposition:

The data from the monitoring program is transferred into STORET on a periodic basis. STORET was previously approved as a permanent system.

Custodians:

Region 2, Division of Environmental Science and Assessment

- **Contact:** Helen Grebe
- **Telephone:** 732-321-6797

Related Schedules:

EPA 171, EPA 304, EPA 400

Previous NARA Disposal Authority:

Entry: 08/22/1996

EPA Approval: 12/18/1996

NARA Approval: 01/20/1999

EPA Records Schedule 239

Status: Final, 04/30/2007

27) **Title:** U.S. Virgin Island Ambient Monitoring Survey (VI-SURVEY)

Program: Water

Applicability: Region 2

Function: 108-023-02 - Water Monitoring and Forecasting

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/27

Description:

The Virgin Island Ambient Monitoring Survey includes data derived from water samples collected at 144 beach stations around St. Croix, St Thomas, and St. John. To date, surveys have been completed for 1991, 1992, 1995, and 1996. Reports are available from September 1991 to the present.

Disposition Instructions:

Item a: Electronic system software

- **Disposable**

- Delete when superseded by routine software updates or when no longer needed.

Item b: Input

- **Disposable**

- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Disposable**

- Delete records 2 years after completion of action.

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for related records.

Item e: Supporting documentation

- **Disposable**

- Follow instructions for EPA 304 - System Documentation.

Guidance:

The Storage and Retrieval of Water Quality Information (STORET) is scheduled as EPA 400.

Reasons for Disposition:

The survey data is transferred into STORET on a periodic basis. STORET was previously approved by NARA as Permanent.

Custodians:

Region 2, Division of Environmental Science and Assessment

- **Contact:** Helen Grebe
- **Telephone:** 732-321-6797

Related Schedules:

EPA 171, EPA 304, EPA 400

Previous NARA Disposal Authority:

Entry: 09/04/1996

EPA Approval: 12/18/1996

NARA Approval: 01/20/1999

EPA Records Schedule 573

Status: Final, 02/20/2007

2ᶠ) **Title:** EPA Payroll System (EPAYS)

Program: Financial Management

Applicability: Headquarters

Function: 402-126 - Payments

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/28

Description:

The EPA Payroll System (EPAYS) is a major system featuring a standardized nationwide data entry system for time and attendance and payroll and personnel data. The system also contains a labor distribution function for Agency payroll accounting and biweekly production of payroll requirements. Additionally, the system has the ability to distribute personnel management information to meet management and regulatory reporting requirements.

EPAYS has the following components:

- PPRS - A reporting facility providing extensive data extract and report generation capability with a small subsystem to support specialized reporting for the Office of Civil Rights.
- TAPP - Provides on-line data entry and edit facilities for EPAYS processed transactions and supports the collection and edit of all payroll and personnel related data.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**

- Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

Item b: Input

- **Disposable**

- Close after data entry completed and verified.

- Destroy after GAO audit or when 6 years old, whichever is sooner.

Item c: Electronic data

- **Disposable**

- Maintain individual records at least 2 years after completion of action, then delete when no longer needed.

Item d: Output and reports

- **Disposable**

- File with related records and follow the disposition instructions for the related records.

Item e: Supporting documentation

- **Disposable**

- Close when superseded.

- Destroy when 15 years old.

Guidance:

The Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff is responsible for implementing the disposition for items a, c, and e. Records covered by items b and d held in other offices are retained according to the disposition instructions for records they support.

Record copies of source documents are covered by the following schedules: EPA 276 for time and attendance; EPA 283 for pay folders; EPA 553 for official personnel folders (OFP) for civilians; and EPA 554 for agency personnel folders for Public Health Service Corps commissioned personnel.

A related system, the Integrated Financial Management System is scheduled as EPA 054 and its predecessor the Financial Management System (FMS) as EPA 053. The PeoplePlus system is scheduled as EPA 300.

Reasons for Disposition:

EPAYS was the primary system used for time and attendance and payroll and personnel data as well as production of reports required by regulations. Input and output records are scheduled separately.

Custodians:

Office of the Chief Financial Officer, Office of Financial Management, Financial Systems Staff

- **Contact:** Martin Poch
- **Telephone:** 202-564-4912

Related Schedules:

EPA 053, EPA 054, EPA 276, EPA 283, EPA 300, EPA 553, EPA 554

Previous NARA Disposal Authority:

Entry: 08/09/1993

EPA Approval: 12/12/1996

NARA Approval: 01/20/1999

DRAFT OF 8/19/98

U.S. EPA RECORDS CONTROL SCHEDULE

29) **SERIES TITLE:** Superfund Document Management System (SDMS)   *Withdrawn*

PROGRAM: Superfund

EPA SERIES NO: 049A

AGENCY FILE CODE: SUPR 049

NARA SCHEDULE NO. N1-412-96-1/29   DRAFT
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Superfund Document Management System (SDMS) is an imaging
system for managing records associated with Superfund sites and is implemented
on a regional basis. It functions as a utility to store, index, retrieve,
redact, and annotate records; and to create special records collections.
Paper records are scanned into the system and captured as images. Other
record media (e.g., microform, electronic) can be input into the system and
captured as images as well. Images may be converted to full text using
Optical Character Recognition (OCR) scanning and a full text inverted index
may be generated to facilitate locating SDMS documents containing particular
words or phrases. Document identifying data, also called document index
terms, are entered into the system for all images captured in the system as
well as for related records which are not imaged (e.g., audio-visual
materials, and, in some cases, photographs, oversized paper records, or
microform). It is possible, using SDMS, to capture all Superfund records for
a site, however, there is great variability in the implementation among the
regions (i.e., not all records of every site, or not all record types are
indexed and/or imaged in the same way.)

ARRANGEMENT: Arrangement varies. Images are stored by image ID number;
document index records are stored by document and record ID number.

TYPE OF RECORDS:	**SPECIFIC RESTRICTIONS:**
Data files, reports	Confidential Business Information
	Enforcement Sensitive Information
	Privacy Act
MEDIUM:	**VITAL RECORD:**
Electronic, paper, microform	Yes

FUNCTIONS SUPPORTED:
Program operations, cost recovery, and Freedom of Information Act

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation and Liability Act of 1980,
  as amended, Sections 104, 106, and 107, 42 USCA 9604, 9606, and 9607.
40 CFR 300

Withdrawn

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DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. SDMS electronic software programs: Disposable	No

b. Input

(1) Imaged paper	Dependent on related records
(2) Imaged microform	Dependent on related records
(3) Electronic optical images	Dependent on related records
(4) Electronic text images	Dependent on related records
(5) Other media	Dependent on related records
(6) Index data: Disposable	No

c. Electronic data

(1) Electronic images: Permanent	No
(2) Document index terms: Permanent	No
(3) Annotations: Permanent	No
(4) Redactions:	Dependent on related records
(5) Full text documents: Disposable	No
(6) Full text inverted Index: Disposable	No

d. Output and reports	Dependent on related records
e. Supporting documentation: Permanent	No

FILE BREAK INSTRUCTIONS:

a. Break software programs when each major version is discontinued and/or when superseded by routine software updates.

b(1-4). Break file after quality assurance check has been performed and images have been backed up.

(5). Break file according to instructions for related records.

(6). Break file after quality assurance check has been performed and index data have been backed up.

c(1 and 2). Break file at the end of a complete input document (item b).

(3). Since an annotation becomes an integral part of an existing document (unless removed by the person adding it); a file break does not apply.

(4-6). File break does not apply.

d. Break file according to instructions for related records.

e. Break file at each major version change of SDMS.

DISPOSITION INSTRUCTIONS:

a. For each major version change of SDMS, maintain current version following procedures required in ETSD's Operational Policies Manual.

b(1-5). Follow disposition instructions for related records.

(6). Maintain records on site until data is superseded.

c(1). For sites that have become inactive: Electronic images cannot be

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converted to ASCII or EBCDIC; the imaged paper is the official record and should be dispositioned following disposition instructions for related records.

(2). Transfer ASCII or EBCDIC flat file of data to the National Archives, as specified in 36 CFR 1228.188. Include data for active and inactive sites as of the file break date.

(3). For sites that have become inactive: a paper copy should be made of any annotated documents; follow disposition instructions for related records.

(4). Follow disposition instructions for related records.

(5 and 6). Delete index/access for full text documents for images related to sites that have become inactive.

d. Follow disposition instructions for related records.

e. Keep inactive materials in office up to 2 years after file break, then retire. Destroy when 15 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: The disposition instructions for electronic software programs, data, output and reports, and supporting documentation are consistent with other related systems. In addition, output from SDMS is anticipated to be important only as it fills the needs of other records series already approved by the National Archives. SDMS input records are covered by other schedules already approved by the National Archives.

AGENCY-WIDE GUIDANCE: The official record copies (inputs and outputs to SDMS) are filed in the appropriate case files under related records series. These include:

         EPA 001A -   Grants and Other Program Support Agreements - Superfund Site
                       Specific
         EPA 010R -   Site Assessment
         EPA 012A -   Federal Agency Hazardous Waste Compliance Site Files
         EPA 013A -   Removal Site Files - Superfund Site Specific
         EPA 014A -   Remedial Site Files - Superfund Site Specific
         EPA 018A -   Sampling and Analytical Data Files - Superfund Site Specific
         EPA 019R -   Administrative Records - Superfund Site Specific
         EPA 020A -   Contract Management Records - Superfund Site Specific
         EPA 024A -   Cost Recovery Records
         EPA 025A -   Enforcement Actions - Superfund Site Specific
         EPA 030A -   Freedom of Information Act (FOIA) Request Files
         EPA 258A -   Final Deliverables Resulting from Contractor Studies and
                       Services

<u>System Definitions</u>

a. Electronic software programs: The instructions or routines that manage the functions controlling the data and images. The programs allow the user to create, access, manipulate, transmit, and store data and images.

b. Input: The source records used to enter data or images into SDMS. They can be on several different media, described below. Output records can also be used as input during a proof-and-correct cycle.

   (1) Imaged paper: Original paper documents scanned into the system.
        (Oversized maps, photographs, and other original documents that include
        color, grey-scale, raised lettering, etc., that need to be preserved
        with more precision than a black and white image may need to be

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categorized as "other media" even if they are fully scanned into the system.)

(2) Imaged microform: Images on microfilm, microfiche, film jackets, etc., that are input into SDMS.

(3) Electronic/optical images: Images on optical disk, optical tape, magneto-optical disk, magnetic disk, etc., that are input into SDMS.

(4) Electronic/magnetic media: Text and data in machine-readable electronic format that are imported as records into SDMS.

DRAFT

(5) Other media: Oversized maps, video tapes, audio tapes, and any other records that are not fully imaged into SDMS. Includes images that have color, grey-scale, raised lettering, etc., that need to be preserved with more precision than a black and white image even though they are fully scanned into the system. Includes microform reels and optical disks, etc., where the individual images on the medium have not been included in SDMS. A place holder (photocopy of the container or other identifying form) represents these items as images in the system.

(6) Index data input systems: Text and data in paper or other media used to record information about images captured in SDMS or about items that are tracked by but not imaged in SDMS. Includes index text or data that are entered into SDMS electronically from another system (e.g., CERCLIS, IFMS, or SCORE$). The information on these forms is entered into SDMS as document-level and supporting index terms to the images.

c. Electronic data: Consists of the scanned images, document index terms, annotations to the images, redactions, and full text documents.

(1) Electronic images

(2) Document index terms: The document index terms consist of document identifying information, entered manually or through input systems, about each record that is captured in SDMS. A captured record may either be an image or a record that is indexed but not imaged in SDMS. These index terms are organized into many relational tables that relate, either directly or indirectly, to a document that is captured in SDMS.

(3) Annotations: Annotations are comments on an image. They are linked to a location on an electronic image by an image identifier and coordinates for that image. They are entered in as text by the users, and may contain valuable insight into and interpretations of documents. They are relevant only if they are tied to the image to which they refer.

(4) Redactions: Redactions are blacked or whited out areas stored as coordinates which overlay electronic images to prevent unauthorized users from accessing sensitive information. Redacted coordinates are not a useful tool for ensuring the prevention of unauthorized access outside the proprietary SDMS platform.

(5) Full text documents: The full text documents consist of full text versions of images, created using Optical Character Recognition (OCR) scanning. They are accessible only to authorized users. The OCR'd text may or may not be corrected prior to its use in creating the full text indexes. Full text documents may be imported into word processing for correction or for use in other documents. Corrected ASCII text may be uploaded to SDMS. Full text documents in SDMS are not considered reliable records due to the inaccuracies inherent in the OCR process and the relative ease with which these records can be altered. They are useful in enhancing the changes or finding relevant images (by searching

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for keywords in the full text documents and then calling up the related images) and in saving typing time (for those passages that are downloaded and used in other documents).

(6) Full text inverted index: Consists of a list of words that appear in the full text of SDMS documents (minus common sense words such as "the," "and," "to," etc.) And pointers as to where those words occur. It is used to quickly identify those documents or pages containing words used in a search string keyed in by an SDMS user.

d. Output: A result of the function of SDMS. Output can be recorded on paper, electronic media, optical media, another computer, fax machine, or microform. Output becomes a new record when it is used for a specific purpose such as responding to a FOIA request or providing documentation for litigation or cost recovery.

Output to the screen, whether a formal report is produced or not, is a record and must be captured if used in decision-making (e.g., a user may call up an image of a map of the site and decide, based on the image, that a fence needs to be built -- the image on the screen is a record of the reason for that decision and should be printed out and filed with the other records for that site.

e. Supporting documentation: Those records maintained by the system manager in the course of developing, enhancing, maintaining and supporting EPA program information systems. The records document how the system captures, manipulates, and outputs data. Supporting documentation includes all life cycle products from initiation and concept to system implementation and operation. Documents may include: cost/benefit analysis; background information; system validation test and platform test data and documents; workgroup records; correspondence; functional requirements reports; data requirements reports; data design reports; database design; development system reports and decision paper; requirements specifications; programming specifications; source codes; user guides; maintenance manual; operations manual; security manual; user support material; data dictionaries; and records related to implemented electronic systems.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	CONTACT POINT:
Name: SDMS Work Group	Name: Verne McFarland, Chair
Location: Regional offices	Mail Code: 6SF-PI
Inclusive Dates: Varies with the region	Telephone: 214-665-6617
Volume on Hand (Feet):	Office: Region 6 (Dallas)
Annual Accumulation: (feet or inches)	Room:

CONTROL INFORMATION:
RELATED ITEMS: EPA 001A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A, EPA 019R, EPA 020A, EPA 024A, EPA 025A, EPA 030A, EPA 258A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

EPA SERIES NO. 049A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
12/19/96		3/20/95	8/19/98

DRAFT

EPA Records Schedule 682

Status: Final, 02/21/2007

30) **Title:** General Counsel Defense Docket System (DEFENSIVE)

Program: General Counsel

Applicability: Agency-wide

Function: 317-260 - Mission Program Support

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral), excluding any records already in electronic form. Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer.

- N1-412-96-1/30

Description:

The General Counsel Defense Docket System (DEFENSIVE) is a nationally automated system for tracking civil cases filed by outside organizations and individuals against the U.S. EPA. System is inactive.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**

- Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

Item b: Input

- **Disposable**

- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Disposable**

- Maintain individual records for at least 2 years after completion of action and then delete when no longer needed. If tracking system is used as a finding aid to the records, maintain individual entries as long as the records are retained or as long as finding aid is needed, whichever is longer.

Item d: Output and reports

- **Varies**

- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Disposable**

- Keep in office up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

Guidance:

Reasons for Disposition:

This system is used for monitoring and tracking civil litigation.

Custodians:

Office of General Counsel, CCID

- **Contact:** Thressa DeGrandchamp
- **Telephone:**

Related Schedules:

EPA 171

Previous NARA Disposal Authority:

Entry: 10/27/1993

EPA Approval: 12/30/1996

NARA Approval: 01/20/1999

In accordance with Federal Register Notice of April 17, 1998 (Vol. 63, No. 74, p. 19368), General Records Schedule (GRS) 20 has been declared null and void by the United States District Court pending resolution of an appeal. The Agency may continue to follow this schedule until: (1) September 30, 1998; (2) EPA has submitted and received approval from NARA on a Request for Disposition Authority; (3) notification by NARA that the appeal has been resolved and NARA has provided further guidance as a result of the appellate court's decision; or (4) further Order of the District Court.

EPA 171 A - Input/Source Records
May 12, 1998