

HHS/NARA copy Jim Reed 1/25

REQUEST FOR RECORDS DISPOSITION AUTHORITY	
(See Instructions on reverse)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1 FROM (Agency or establishment) Department of Health and Human Services	
2 MAJOR SUBDIVISION Centers for Disease Control and Prevention	
3 MINOR SUBDIVISION Office of the Director, Office of Health and Safety	
4 NAME OF PERSON WITH WHOM TO CONFER Jimmy A. Harrison	5 TELEPHONE (404) 639-0457

LEAVE BLANK (NARA use only)	
JOB NUMBER 71-442-01-1	
DATE RECEIVED 1-29-2001	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 USC 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
DATE 4-19-04	ARCHIVIST OF THE UNITED STATES <i>John W. Paul</i>

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 9 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,

is not required; is attached, or has been requested.

DATE JAN 22 2001	SIGNATURE OF AGENCY REPRESENTATIVE <i>Alexander Barman, Sr.</i>	TITLE DHHS Records Management Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Attached is a Records Control Schedule for Records of the CDC Office of Health and Safety. Part I. Covers the Records of the Radiation Safety Program Part II. Covers the Records of the Environmental Protection Program Part III. Covers the Records of the Occupational Health Clinic		

cc Agency (2), NIR

N1-442-01-1

Centers for Disease Control and Prevention (CDC)

Office of Health and Safety (OHS)

Develops and administers the Occupational Safety and Health Program of CDC, including the, (i) **Radiation Safety Program**, (ii.), **Environmental Protection Program**, and (iii) **Occupational Health Clinic**.

The Radiation Safety Program is managed by the Radiation Safety Officer (RSO) who is a member of the OHS staff and serves on the Radiation Safety Committee (RSC). The RSC provides oversight of the CDC Radiation Safety Program to insure safe use of radioactive material in areas under the control of CDC in all Atlanta facilities.

The Environmental Protection Program provides oversight of the CDC Environmental Protection Program to ensure the CDC adheres to Federal and State environmental regulations and good management practices in the following categories

- 1 Air Emissions
- 2 Above ground/Underground Storage Tanks
- 3 Hazardous Materials
4. Hazardous Wastes
5. Natural and Cultural Resources
6. Pesticides
7. Petroleum, Oil, and Lubricants (POLs)
- 8 Solid Wastes
9. Special Pollutants
10. Wastewater

The Occupational Health Clinic provides medical health services for CDC employees, Civil Service Employees, Contract Personnel, and Visitors to the CDC facilities at Clifton Rd. and Chamblee locations.

I. Records of the Radiation Safety- Program

Background

The CDC operates under two specific licenses issued by the United States Nuclear Regulatory Commission (NRC) and must comply with the terms of each license when using any radioisotopes that are produced as a by-product in a nuclear reactor. The NRC's standards for protection from radiation and the required record keeping are published in the Code of Federal Regulations under

Title 10 The rules are commonly referred to as 10 CFR 19, "Notices, Instructions, and Reports to Workers" and 10 CFR 20, "Standards for Protection against Radiation." Information on record keeping requirements is also found in 10 CFR 34, Subpart E. The documents are currently in textual media only.

1. Program Provisions Records. The licenses, license conditions, documents incorporated by reference, the Radiation Safety Manual, Radiation Safety Committee meeting minutes, and amendments to each of these items.

A. Record Copy Maintained by the RSO

Authorized Disposition

Retain on site until superseded by new documents approved by the commission, or until the license is terminated. Transfer to FRC or other approved storage repository three years after supercession or termination. Destroy 30 years after supercession/termination.

B. Reference copies of "IA" listed above maintained by Radiation Safety Office or other designated area.

Authorized Disposition

Retain on-site until superseded or no longer needed, then destroy

2. Records of Program Audits and Other Reviews

Program audits and reviews include determining (1) the extent to which the desired results or benefits established by the authorizing body are being achieved, (2) the effectiveness of programs, activities, or functions, and (3) whether the entity has complied with significant laws and regulations applicable to the program.

Authorized Disposition

Cutoff file at the end of year in which audit or review is conducted Destroy 10 years after cutoff Do not send to FRC for storage

3. Records of Individual Monitoring Results (Dosimetry Records). Records of radiation doses received by individuals for whom monitoring was required, and records of doses received during accidents and emergency conditions

Authorized Disposition

Cutoff file at the end of year in which record is made. Transfer to the FRC 10 years after cutoff. Destroy 30 years after operating license is terminated.

(Note: FRC will set this series for the initial contingent review 50 years after transfer. CDC is responsible for notifying NARA immediately upon operating license termination so the contingency can be removed and the 30-year retention can begin)

4. Records of Waste Disposal Records documenting the disposal of material covered under the operating license provided by the Nuclear Regulatory Commission.

Authorized Disposition

Cutoff file at the end of year in which record is made. Transfer to the FRC 10 years after cutoff. Destroy 30 years after operating license is terminated.

(Note: FRC will set this series for the initial contingent review 50 years after transfer. CDC is responsible for notifying NARA immediately upon operating license termination so the contingency can be removed and the 30-year retention can begin.)

5. Records of Air Sampling, Surveys, and Bioassays. This series includes records showing the result of air sampling, surveys, and bioassays required by 10 CFR 20.1703 (c) and the results of air sampling, surveys, and bioassays required under the Standards for protection in effect prior to January 1, 1994. This series also includes records of the results of measurements and calculations used to evaluate the release of radioactive effluents to the environment.

Authorized Disposition

Cutoff file at the end of year in which record is made. Transfer to the FRC 10 years after cutoff. Destroy 30 years after operating license is terminated

(Note: FRC will set this series for the initial contingent review 50 years after transfer. CDC is responsible for notifying NARA immediately upon operating license termination so the contingency can be removed and the 30-year retention can begin)

6. Records of Training and Certification. Records of training and certification of radiation workers including records of annual refresher safety training Arranged by course title and includes dates of training and class rosters. (Note a record of training and certification is also placed in the individual's OPF)

Authorized Disposition

Cutoff file at the end of year in which record is made Do not transfer to the FRC for storage. Destroy 10 years after cutoff

7. Records of Calibration of Radiation Survey Instruments. Records documenting the calibration of radiation survey instruments

Authorized Disposition

Cutoff file at the end of year in which record is made Do not transfer to the FRC for storage Destroy 10 years after cutoff

8. Records of Receipt and Transfer of Licensed Materials. Records showing the receipt and transfer of licensed materials. Includes inventories, packing slips, usage reports, requisitions, and related material

Authorized Disposition

Cutoff file at the end of year in which record is made Do not transfer to the FRC for storage. Destroy 10 years after cutoff

9. Records of Radiation Surveys Includes records of leak test results and tests of exposure device surveys (wipe tests).

Authorized Disposition

Cutoff file at the end of year in which record is made Transfer to the FRC 10 years after cutoff Destroy 30 years after operating license is terminated

(Note: FRC will set this series for the initial contingent review 50 years after transfer. CDC is responsible for notifying NARA immediately upon operating license termination so the contingency can be removed and the 30-year retention can begin)

II. Environmental Protection Records

10. Hazardous Waste Shipment Records. Hazardous chemical waste manifests and associated documents are covered under Part 262 of 40 CFR. Consists of records of shipments of hazardous chemical waste to authorized transporters and to authorized disposal sites. Files shall include Contracts, Requisitions, Purchase Orders, Waste Manifests (Generator and Facility), Container Contents, Restricted Waste Notifications, Packing Slips, Certificates of Tracking, Certificates of Disposal, Invoices, Biennial Reports, State Hazardous Waste Fees, and Annual Generation Reports.

Authorized Disposition

Cutoff file at the end of year in which record is made. Transfer to FRC 5 years after cutoff. Destroy 50 years after cutoff.

11. Hazardous Waste Management Training Records. Records of Hazardous Chemical Waste Management Training Classes as required for both new employee classes and annual refresher classes, including the outline of training material and actual training material, sign in sheets of attendees and their SS# or user ID, employee tests, class evaluation summaries, and invoices for training. (Note: a record of training and certification is also placed in the individual's OPF)

Authorized Disposition

Cutoff file at the end of year in which record is made. Transfer to the FRC 5 years after cutoff. Destroy 10 years after cutoff. (Note. a record of this training is also placed in the individual's OPF)

12. Program Inspection Records: External Audits (Audits by Outside Contractors). Each CDC facility is audited on a four-year cycle, beginning with an Annual Environmental Compliance Assessment conducted with the support of outside contractors. Records of Annual Environmental Compliance Assessment, Reports of Findings, Actions taken to Correct Findings, Comments, and Correspondence with CIO Representatives, Memorandums of Understanding/Memorandums of Agreement, Contracts, and Invoices.

Authorized Disposition

Cutoff files at the end of the year in which the audit ends. Transfer to the FRC 5 years after cutoff. Destroy 30 years after cutoff.

13. Program Inspection Records: Internal Audits (Audits by CDC personnel)

During the interim years between External Audits, Annual Environmental Compliance Assessments of each CDC facility are conducted and reports are prepared by CDC personnel. Records of Environmental Compliance Assessment, Reports of Findings, Actions taken to Correct Findings, Correspondence with CIO representatives, and Comments.

Authorized Disposition

Cutoff files at the end of year in which the audit ends. Transfer to the FRC 5 year after cutoff Destroy 30 years after cutoff.

14. Records Created for Environmental Assessments of Real Estate

Environmental Site Investigations and Assessments are performed to identify existing or potential environmental risks associated with CDC sites and to present a preliminary review of their environmental condition. Environmental Assessments (EAs), and Environmental Impact Statements (EISs) are prepared for federally funded projects They are performed in accordance with the National Environmental Policy Act (NEPA) of 1969 (42 USC §§ 4321-4347 and the regulations implementing them 40 CFR Parts 1500-1508) The function of the EAs and EISs is to identify a proposed action, which meets the agency's needs while minimizing adverse environmental impacts.

Records include: Environmental Assessments, Environmental Impact Statements, Records of Site Assessment, Corrective Action Plans, Technical Plans for Remedial Actions, Compliance Action Plans, and Completion Reports

Authorized Disposition

Cutoff files at the end of the fiscal year in which the abatement is completed or when the investigation is completed if there is no abatement required. Transfer to the FRC 5 years after cutoff. Destroy 50 years after cutoff.

NOTE: Some CDC Records Created for Environmental Assessments of Real Estate may be worthy of permanent retention if they significantly interpret CDC regulations, reflect significant developments, or attract extensive public attention. These should be brought to the attention of NARA via a SF-115, Request for Disposition Authority, so that they can be appraised and appropriate disposition authorized. The appraisal process of these records will include a determination of the appropriate medium for transfer of any records determined to be permanent

15. SUPERFUND AMENDMENTS AND REAUTHORIZATION ACT OF 1986

TITLE III (SARA) Records. Records for SARA Title III are regulated under 40 CFR 372.10. According to 40 CFR 372.10, records related to Section 313 must

be maintained for a 3-year period from the applicable Form R submission deadline. Form R Facilities must keep a copy of each Form R report filed from the date of submission. File should include all documents, calculations, worksheets, and other forms used to file Form R reports. Files should also include copies of letters submitted to the State Emergency Response Commission and the Local Emergency Planning Committee, and chemical inventory lists which determine if CDC is subject to the notification and planning requirements of Sections 302 and 303 as well as the community right-to-know requirements of Sections 311 and 312. In the event of a release reportable under SARA Section 304, files shall include: list of immediate telephone notifications, and the record of written follow-up notices submitted to the State Emergency Response Commission and Local Emergency Planning Committee – this information identifies individuals/organizations that were initially notified by telephone; record of any update information that was provided during the immediate telephone notifications. Section 311 and 312 - Files shall include reporting determination worksheets, chemical inventory records, copies of the list of reportable chemicals for Section 311 submission, as well as copies of the Tier II reporting forms that have been submitted

Authorized Disposition

Cutoff files at the end of the year of Form R submission, release reporting, or letters of notification. Transfer to the FRC 5 years after cutoff. Destroy 10 years after cutoff

16. Clean Air Act Records. Records required under the Clean Air Act include a copy of the facility's Title V Permit, an inventory of the emissions of all regulated pollutants and all pollutants for which the facility is classified as a minor or major source, a description of all emissions points and their rates, a description of fuels and how they are used, as well as a description of raw materials used, a description of all pollution control equipment, a description of any operating limitations or restrictions on work practices that affect the emissions of regulated pollutants, a description of all current and emerging state and federal air pollution control requirements, a description of any test methods, monitoring and reporting specified in the permit, and training records specified in the permit.

Authorized Disposition

Cutoff files at the end of the year in which the Title V Permit is granted. Transfer to the FRC 5 years after any modifications are made to the initial permit. Destroy 5 years after the property is transferred to another entity

17. Clean Water Act Records. Files shall include monitoring results and reports submitted to the County Publicly Owned Treatment Works, standard permit

conditions, special permit conditions, such as requirements for supplemental monitoring, documented inspections for elicit connections, and reports of releases of reportable quantities, records of inspections of site-specific, records of leaks and spills, results of tests, and inspections, documenting the results, and corrective activities, and employee training records

Authorized Disposition

Cutoff files at the end of year in which the permit is granted. Transfer to the FRC 5 years after any modifications are made to the initial permit. Destroy 5 years after the property is transferred to another entity.

18. Hazardous Materials Transportation Act Records. Files shall include shipping papers and associated documentation, vehicle inspection records, employee training records and testing, incident reports, and hazardous materials transportation registration.

Authorized Disposition

Cutoff files at the end of the year in which record is created. Transfer to the FRC 3 years after cutoff. Destroy 10 years after cutoff.

19. Underground Storage Tanks (UST) Records The management of underground storage tanks is required under the Resource Conservation and Recovery Act (RCRA) While the UST is active and if corrosion protection equipment is not used, corrosion expert's analysis shall be maintained of site corrosion potential on metal USTs and piping. Documentation of the operation of corrosion protection equipment shall be maintained along with documentation of UST system repair. Release detection records, (such as manufacture performance claims, recent results of sampling, testing, and monitoring, and tank-tightness testing for current year), shall be maintained along with recent compliance with release detection requirements, and recent compliance with the site investigation conducted at permanent closure

Files shall include a comprehensive inventory of all underground and above ground storage tanks, contingency plans, underground storage tank registration documentation, underground storage tank certifications, closure plans, release and incident reports, and underground storage tanks operational inspections.

Authorized Disposition

Cutoff file at end of the year in which UST is permanently closed. Transfer to the FRC 1 year after cutoff. Destroy 50 years after cutoff.

20. Spills of Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Hazardous Substances Under CERCLA, CDC must report releases of hazardous substances. The files shall contain the name, address, and telephone number of the person filing the report, contacted individuals, specific location of the incident, date, time and duration of the release, names of material released, source and cause of the release, total quantity discharged, medium into which the substances were discharged, number and type of injuries or fatalities, whether an evacuation has occurred, existing or potential hazards, weather conditions, description of current and future cleanup activities, and other agencies notified

Authorized Disposition

Cutoff at the end of year in which the initial report of release is submitted. Transfer to the FRC 5 years after cutoff. Destroy 50 years after cutoff

21. Integrated Emergency Management Plan. The National Response Team's *Integrated Contingency Planning (ICP) Guidance* is the format used by CDC in preparing emergency response plans for responding to releases of oil and non-radiological hazardous substances. It consolidates multiple plans into one functional emergency response plan or integrated contingency plan. It includes both physical and chemical hazards associated with events such as chemical releases, oil spills, fires, explosions and natural disasters. It will meet the applicable local, state, and Federal response plan requirements and may include but is not be limited to:

- EPA's Oil Pollution Prevention Regulation (SPCC and Facility Response Plan Requirements) - 40 CFR Part 112.7(d) and 112.20 - .21;
- EPA's Risk Management Programs Regulation - 40 CFR Part 68,
- OSHA's Emergency Action Plan Regulation - 29 CFR 1910.38(a),
- OSHA's Process Safety Standard ' 29 CFR 1910.120,
- OSHA's HAZWOPER Regulation - 1910.120; and
- EPA's Resource Conservation and Recovery Act Contingency Planning Requirements -40 CFR Part 264, Subpart D, 40 CFR Part 265 Subpart D, and 40 CFR 279.52

Authorized Disposition

Cutoff at the end of the year in which the plan is updated. Retain current plan on-site. Transfer superceded material to the FRC 5 years after cutoff. Destroy superceded material 10 years after cutoff.

III. Occupational Health Clinic Records

22. Retro-virus Surveillance Records: These records consist of work exposure questionnaires, medical staff notes, consents for testing, and retro-virus test results on employees who chose to participate in the CDC's voluntary, confidential Retro-virus and Hepatitis C Medical Surveillance Program

Authorized Disposition

Cutoff records at the end of the year in which the employee terminates employment with CDC or no longer chooses to participate in this voluntary program Transfer to the FRC 5 years after cutoff Destroy 50 Years after cutoff. (Special note: records will be maintained in a secure area of FRC and access to the records and accompanying box lists, will only be authorized to designated CDC officials)

23. Electronic Mail and Word Processing System Copies

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a record-keeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

A. Copies that have no further administrative value after the record-keeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record-keeping copy

Authorized Disposition

Destroy/delete within 180 days after the record-keeping copy has been produced.

B. Copies used for dissemination, revision, or updating that are maintained in addition to the record-keeping copy.

Authorized Disposition

Destroy/delete when dissemination, revision, or updating is completed.

- OSHA's HAZWOPER Regulation - 1910.120; and
- EPA's Resource Conservation and Recovery Act Contingency Planning Requirements - 40 CFR Part 264, Subpart D, 40 CFR Part 265 Subpart D, and 40 CFR 279.52.
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Authorized Disposition

Transfer to the FRC 5 years after the date of the initial development of the ICP. Destroy when 10 years old.

III. Occupational Health Clinic Records

see final review approved by CDC 11/17/03

23. Retro-virus Surveillance Records: These records consist of work exposure questionnaires, medical staff notes, consents for testing, and retro-virus test results on employees who chose to participate in the CDC's voluntary, confidential Retro-virus Medical Surveillance Program.

Authorized Disposition

Cutoff records in the year in which the employee terminates employment with CDC or no longer chooses to participate in this voluntary program. Transfer to the FRC 10 years after cutoff. Destroy 50 Years after cutoff. **(Special note: records will be maintained in a secure area of FRC and access to the records, SF-135, and accompanying box lists, will only be authorized to designated CDC officials)**

Approved: *Jimmy A. Gammari* date *12/14/00*
 CDC Records Officer, OPS, MASO

Approved: *Robert H. Heller for JYR* date *12/20/00*
 Director, CDC Office of Health and Safety

Approved *Deborah Dress* date *12/18/00*
 CDC Legal Representative