

WITHDRAWN – RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0412-2013-0022

Request for Records Disposition Authority

Records Schedule Number DAA-0412-2013-0022

Schedule Status Returned Without Action

WITHDRAWN

Agency or Establishment Environmental Protection Agency

Record Group / Scheduling Group Records of the Environmental Protection Agency

Records Schedule applies to Agency-wide

Schedule Subject Environmental Programs and Projects - Site-Specific

Internal agency concurrences will be provided No

Background Information

This schedule covers program and project records for EPA's missions to monitor the environment, determine proper environmental standards and address environmental hazards and contamination. This includes Superfund Remedial, Superfund Emergency Response and Removal, Federal Facilities Response, Superfund Enforcement, Base Realignment and Closure, and Federal Facilities Enforcement; Brownfields; and Oil Spill site-specific activities. Activities include site and area evaluation and cleanup for formally designated sites or areas that suffer significant environmental degradation, usually from historic industrial pollution; removals to prevent, reduce, or mitigate threats to humans posed by releases or potential releases of hazardous pollutants in emergency and nonemergency situations of a time-critical nature; and cleanup of contaminated land to return it to beneficial use.

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Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	6

GAO Approval

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Outline of Records Schedule Items for DAA-0412-2013-0022

Sequence Number	
1	Historically significant Superfund and Oil Spill site-specific records Disposition Authority Number: DAA-0412-2013-0022-0001
2	Site assessment records Disposition Authority Number: DAA-0412-2013-0022-0002
3	Long-term site-specific records Disposition Authority Number: DAA-0412-2013-0022-0003
4	Formerly used defense sites (FUDS) Disposition Authority Number: DAA-0412-2013-0022-0004
5	Short-term site-specific records Disposition Authority Number: DAA-0412-2013-0022-0005
6	Financial and state assurance documents Disposition Authority Number: DAA-0412-2013-0022-0006

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Records Schedule Items

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Sequence Number	
1	<p data-bbox="358 442 1477 474">Historically significant Superfund and Oil Spill site-specific records</p> <p data-bbox="358 495 1477 527">Disposition Authority Number DAA-0412-2013-0022-0001</p> <p data-bbox="358 549 1477 1932">Includes, but is not limited to: administrative records (ARs) compiled and made available to the public as the basis for selected Superfund response actions including action memoranda, administrative orders, applicable or relevant and appropriate requirements (ARARs), community relations plans (CRPs), consent orders, correspondence, fact sheets, natural resource trustee information, news clippings, pollution reports (POLREPs), potentially responsible party (PRP) letters, preliminary assessment/site inspection, proposed and approved remedial action, public comments on the development of the AR, records of decision (RODs), remedial investigation (RI)/feasibility studies (FS), site reports, technical assistance documentation, technical issue papers, work plans, AR index, and similar records; federal agency hazardous waste compliance site files, including records related to hazardous waste sites at federal facilities that have been submitted under the Resource Conservation and Recovery Act (RCRA) or the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) including ARARs, CRPs, concurrence memoranda and reports, delisting and other types of correspondence, endangerment and risk assessments, financial and technical progress reports, hazardous ranking system (HRS) packages, health and safety plans, meeting notes, National Priorities List (NPL) determination, POLREPS, preliminary assessments (PA), public meeting notes, proposed plans for selected remedial action, RCRA closure, post closure and compliance reports, remedial design and remedial action (RD/RA) reports, RI/FS reports, sampling and analysis data, site assessments (SA), statements of work (SOW) and other site-specific contract documentation, work plans, and similar records; landmark cases referred to the Office of Regional Counsel (ORC) or other offices with enforcement authority for Superfund and Oil Spill site-specific enforcement actions including administrative and judicial cost recovery settlements, administrative orders, attorney work products, case summaries, compliance status documents, consent decrees, Department of Justice (DOJ) referral packages, discovery and litigation support documents, federal facility agreements, injunctive relief actions, judicial settlements and orders, natural resource damage actions, notices and pleadings, RI/FS special notices, state and other agency enforcement records, subpoenas, 10-point settlement memos, witness lists, and similar records; remedial site files relating to activities conducted at remedial sites by EPA and non-EPA lead entities, including pre- and post-ROD records, operation and maintenance records, and NPL deletion packages including ARARs, Congressional inquiries, construction completion packages, contract documentation, correspondence, CRPs, endangerment and risk assessments, health and safety plans, inspection reports, monitoring agreements, operation and</p>

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maintenance plans, pre-ROD review package, project operations plans (POPs), proposed plans for selected remedial action, PRP searches and investigations, quality assurance project plans (QAPPs), RD/RA documents, responsiveness summaries, RI/FS reports, RODs and ROD delegation documents, sampling and analysis data, site close out and NPL deletion packages, state concurrence letters, and similar records; and removal site files relating to emergency, time-critical and non-time-critical removal activities conducted by EPA and non-EPA lead entities (e.g., potentially responsible parties (PRPs), state, federal facilities) including contract documentation, correspondence, financial and technical progress reports, POLREPs, QAPPs, removal response records, sampling and analysis data, work plans, and similar records.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

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Manual Citation	Manual Title
EPA 1036, item a	

GRS or Superseded Authority Citation

- N1-412-07-5a(1)
- N1-412-07-5a(2)
- N1-412-06-13a(1)
- N1-412-06-13a(2)
- N1-412-06-14a(1)
- N1-412-06-14a(2)
- N1-412-06-16a(1)
- N1-412-06-16a(2)
- N1-412-06-19b(1)
- N1-412-06-19b(2)
- N1-412-07-7b(1)
- N1-412-07-7b(2)

Disposition Instruction

Cutoff Instruction Close Superfund and Oil Spill site-specific records, except landmark cases, upon deletion of site from the NPL or archived status (see Guidance for explanation of archived status) in the Superfund Enterprise

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Management System (SEMS) if not listed on the NPL. Close landmark cases when case is closed.

Transfer to the National Archives for Accessioning Transfer to the National Archives 30 year(s) after file closure.

Additional Information

What will be the date span of the initial transfer of records to the National Archives? Unknown
Transfer of these records is ongoing.

How frequently will your agency transfer these records to the National Archives? Unknown
Transfer of these records is ongoing.

Site assessment records

Disposition Authority Number DAA-0412-2013-0022-0002

Includes, but is not limited to site-specific records related to sites which were investigated for listing on the NPL and Brownfields assessments, including no further remedial action planned sites (NFRAPs), sites placed on the NPL, sites warranting a removal action, sites not yet assigned to the NPL or NFRAP, and Brownfields sites.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

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Manual Citation	Manual Title
EPA 1036, item b	

GRS or Superseded Authority Citation N1-412-07-25a
N1-412-07-25b
N1-412-07-25c
N1-412-07-25d
N1-412-07-25e

Disposition Instruction

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3	Cutoff Instruction	Close upon remediation determination. If final remediation decision has not been made, review every 5 years. Records may be stored under a "Contingent Temporary" status until a decision is made and the appropriate disposition is assigned. File records for NPL and removal sites with the related site file (item a).
	Retention Period	Destroy 40 year(s) after file closure.
	Additional Information	
	GAO Approval	Not Required
	Long-term site-specific records	
	Disposition Authority Number	DAA-0412-2013-0022-0003
		Includes, but is not limited to: administrative decision records allowing potentially responsible parties (RPPs) to petition the Fund for reimbursement, including the 106(b) petitions, the Preliminary and Final Decision Document, comments, and related records; claims against the Fund documenting the decisions made by headquarters and regional personnel concerning claims against the Fund, including claims filed against the Fund under mixed funding agreements (preauthorization, cashouts, mixed work); contract management records needed for cost recovery, when maintained separately from the site file; cost recovery records including compilations of documentation that describe technical aspects of the response action and cost accounting information necessary to document the costs incurred to implement the response action; enforcement actions, that are routine or require no legal action, when maintained separately from the site file; final deliverables and reports, when maintained separately from the site file; grant and other agreement oversight records related to the implementation of post-award monitoring, evaluation, and oversight; grants and other support agreements needed for cost recovery, including all types of agreements to which EPA is a party and that support the Superfund program, when maintained separately from the site file; local government reimbursement program records, including general information and cost documentation on the release, the application for reimbursement, records of reimbursement, and rejected and accepted applications; oil spill site-specific records relating to emergency, time-critical and non-time-critical removal activities conducted by EPA and non-EPA lead (e.g., PRP, state, federal facilities) in response to an oil spill; and sampling and analytical data files, including the "current" files, the "purge" files, the headquarters and Sample Management Office (SMO) files, and the regional lab records that include in-house sampling, when maintained separately from the site file.
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
EPA 1036, item c	

GRS or Superseded Authority Citation

- N1-412-06-12b
- N1-412-06-15a
- N1-412-06-15b
- N1-412-06-15c
- N1-412-06-15d
- N1-412-06-15e
- N1-412-06-17a
- N1-412-06-17b
- N1-412-06-17c
- N1-412-06-18a
- N1-412-06-19a
- N1-412-07-54/1a
- N1-412-07-54/3a
- N1-412-07-54/4a
- N1-412-07-3a
- N1-412-06-27b
- N1-412-07-7a
- N1-412-07-8a

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Disposition Instruction

Cutoff Instruction Close when activity, project, or topic is completed.

Retention Period Destroy 30 year(s) after file closure.

Additional Information

GAO Approval Not Required

Formerly used defense sites (FUDS)

Disposition Authority Number DAA-0412-2013-0022-0004

Includes formerly used defense sites, also known as the Formerly Utilized Sites Remedial Action Program, administered by the Army Corps of Engineers, in cooperation with EPA, states, tribes and other entities, including sampling and assessment of contaminated areas, characterization of site conditions,

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determination of the nature and extent of contamination, selection of response actions, cleanup and closeout of sites, correspondence, and similar records.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
EPA 1036, item d	

GRS or Superseded Authority Citation N1-412-07-55/1a

Disposition Instruction

Cutoff Instruction Close when EPA concurs with notification of no further action from Corps of Engineers.

Retention Period Destroy 20 year(s) after file closure.

Additional Information

GAO Approval Not Required

Short-term site-specific records

Disposition Authority Number DAA-0412-2013-0022-0005

Includes, but is not limited to grants and other support agreements not needed for cost recovery and maintained separately from the site file.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

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Manual Citation	Manual Title
EPA 1036, item e	

GRS or Superseded Authority Citation N1-412-06-12a

Disposition Instruction

Cutoff Instruction Close when activity, project, or topic is completed.

Retention Period Destroy 7 year(s) after file closure.

Additional Information

GAO Approval Not Required

Financial and state assurance documents

Disposition Authority Number DAA-0412-2013-0022-0006

Final Disposition Temporary

Item Status Withdrawn

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Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Manual Citation	Manual Title
EPA 1036, item f	

Disposition Instruction

Cutoff Instruction Close when related records are destroyed or transferred to the National Archives.

Retention Period Destroy after file closure or return to submitter.

Additional Information

GAO Approval Not Required

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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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/18/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
11/04/2013	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
11/06/2013	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
11/06/2013	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
11/25/2014	Return for Revision	Henry Wolfinger	Appraiser	National Archives and Records Administration - Records Management Services
12/04/2014	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch
12/18/2014	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
08/05/2015	Return for Revision	Mark Ferguson	Appraiser	National Archives and Records Administration - Records Management Services
08/11/2015	Submit For Certification	Sandy York	Records Information Manager V	Office of Environmental Information - records and Content Management Branch

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08/19/2015	Certify	John Ellis	Agency Records Officer	Office of Environmental Information - Office of Information Collection
08/25/2015	Return Without Action	Mark Ferguson	Appraiser	National Archives and Records Administration - Records Management Services

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