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| REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i> | | LEAVE BLANK | |
| | | JOB NO | NI-412-87-1 |
| TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408 | | DATE RECEIVED | November 24, 1986 |
| 1 FROM (Agency or establishment) Environmental Protection Agency | | NOTIFICATION TO AGENCY | |
| 2 MAJOR SUBDIVISION Office of Emergency & Remedial Response | | In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required. | |
| 3 MINOR SUBDIVISION | | | |
| 4 NAME OF PERSON WITH WHOM TO CONFER Harold Webster Thomas Tasker | | 5 TELEPHONE EXT 382-5912 382-5911 | DATE SIGNATURE OF THE ARCHIVIST IS NOT REQUIRED FOR APPROVAL OF PERMANENT RETENTION OF RECORDS |
| 6 CERTIFICATE OF AGENCY REPRESENTATIVE | | | |

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 8 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

| | | |
|----------|---------------------------------------|-----------------------------------|
| B DATE | C SIGNATURE OF AGENCY REPRESENTATIVE | D TITLE |
| 11/20/86 | <i>Thomas Tasker</i> Thomas Tasker | Agency Records Management Officer |

| 7 ITEM NO | 8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i> | 9 GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN <i>(NARS USE ONLY)</i> |
|-----------|---|----------------------------------|---|
| 15. | Item #15, in the Office of Emergency And Remedial Response Records Control Schedule is being revised to increase the retention period from six (6) years to Permanent. Attached is a copy of the revised Emergency And Remedial Response Records Control Schedule. | NC1-412-85-10 | |

U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED. NO

| TITLE OF SCHEDULE | | COVERAGE OF SCHEDULE |
|---|---|---|
| EMERGENCY AND REMEDIAL RESPONSE RECORDS | | APPLICABLE HEADQUARTERS OFFICE |
| ITEM NO | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 1. | Controlled and Major Correspondence of the Director, Office of Emergency and Remedial Response. Includes copies of controlled and major correspondence signed by the Director. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. | Retention: Permanent. Disposition: Break file at end of year office current plus 1 additional year, then transfer to the FRC. Keep in FRC for 10 years, then offer to National Archives in 5 year blocks. |
| 2. | General Correspondence of the Director, Office of Emergency and Remedial Response. Includes copies of non-controlled (routine) correspondence. Records consist of incoming letters and enclosures. | Retention: Retain 5 years. Disposition: Break file at end of year. Keep in office 1 year, then transfer to FRC. Destroy when 5 years old. |
| 3. | Program Development File. Consists of records related to the development of emergency and remedial response policies and programs. Records consist of correspondence, issue papers and reports relative to policy, strategy, program control, research priorities, legislative priorities, other other related records. | Retention: Permanent. Disposition: Break file at end of 2 years. Keep in office 3 years, then transfer to the FRC. Keep in FRC for 20 years, then offer to the National Archives in 5 year blocks. |
| 4. | Program Management File. Consists of records related to the management and administrative support of each unit of the Office of Emergency and Remedial Response. Records consist of program planning and implementation, personnel needs, work accomplishments, budgetary materials, and other management activities. | Retention: Retain 5 years. Disposition: Break file at end of year. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old. |
| 5. | Speeches by Office Director or Staff. Speeches prepared for delivery at civic functions and professional conferences and meetings. | Retention: a. Record Copy. Permanent. b. Information Copies. Retain 1 year. Disposition: a. Record Copy. Break file after presentation. Keep in office 5 year, then transfer to the FRC. Keep in FRC 5 years, then transfer to the National Archives in 5 year blocks. b. Information Copies: Destroy when 1 year old or sooner if no longer needed. |

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| EMERGENCY AND REMEDIAL RESPONSE RECORDS | | APPLICABLE HEADQUARTERS OFFICE |
| ITEM NO | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 6. | <u>Freedom of Information Response File.</u> Includes copies of incoming requests for information under the Freedom of Information Act, copies of replies, and copies of any interagency memoranda concerning the request. Note: this file does not contain the Program's official record of information being requested. | <u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in Office current plus 1 additional year. Destroy when 2 years old |
| 7. | <u>Foreign Government File.</u> Covers contacts and activities with foreign governments. Records consist of cooperative program agreements, copy of contingency plan, meeting arrangements, minutes of meetings, news clippings, technical reports and papers, trip reports, etc. | <u>Retention:</u> Retain 6 years. <u>Disposition:</u> Break file at end of year. Keep in office 6 years, then destroy when 6 years old. |
| 8. | <u>Interagency and Federal Government File.</u> This file contains contacts and activities with other Federal agencies, commissions, and other units of the Federal Government. Records consist of letters and reports relating to Executive Orders, OMB statements and bulletins, proposed legislation and programs, cooperative ventures and proposals, meetings and conferences of other Federal agencies. | <u>Retention:</u> Retain 6 years. <u>Disposition:</u> Break file at end of year. Keep in office 6 years, then destroy when 6 years old. |
| 9. | <u>State and Local Government File.</u> Covers contacts and activities with States, counties, and cities. Records consist of letters, meeting arrangements, copies of proposed or existing State laws on uncontrolled hazardous waste facilities, list and staffing of State agencies responsible for hazardous waste management activities, State regulations, reports on meetings with State representatives, State contingency plans, etc. | <u>Retention:</u> Retain 6 years. <u>Disposition:</u> Break file at end of year. Keep in office 6 years, then destroy when 6 years old. |
| 10. | <u>Professional and Civil Associations and Institutions.</u> Covers contacts and activities with professional associations (engineers, chemists, etc.), civic associations (environmentalists, Boy Scouts, JC's, etc.), and institutions (colleges, foundations, etc.). Records consist of meetings and conference arrangements, lists of organization officers, organization brochures, special studies and reports, requests for information and assistance, public participation/community relations. | <u>Retention:</u> Retain 2 years. <u>Disposition:</u> Break file at end of year. Keep in office 2 years, then destroy when 2 years old. |

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| ITEM NO | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 11. | Industrial and Commercial Files. Covers contacts and activities with industrial and commercial firms, including background data on firms. Records consist of requests for information, product brochures, product distribution data, correspondence, and other related records. | Retention: Retain 2 years. Disposition: Break file at end of year. Keep in office 2 years, then destroy when 2 years old. |
| 12. | Regional Files. Concerns the organization, management, and operation of the regional operations. Records consist of staff lists, planned program organization plan, summary of activities, regional correspondence with State government units, and correspondence on program actions. (Non-site specific information). | Retention: Retain 6 years. Disposition: Break file at end of year. Keep in office 6 years, then destroy when 6 years old. |
| 13. | Legislation. Contains Records pertaining to proposed and existing EPA legislation. Records consist of proposed bills, acts, amendments, analysis of bills and amendments, news clips, briefing papers, hearing transcripts and reports, correspondence, etc. | Retention: Retain 10 years. Disposition: Break file at end of year. Keep in office 2 years, then transfer to the FRC. Destroy when 10 years old. |
| 14. | Regulations, Standards, and Guidelines. Contains information relating to the development of rules and regulations affecting the environmental legislation passed by Congress. Records consist of drafts of proposed regulations and guidelines (National Contingency Plan), internal comments journal articles and other supporting literature, proposed rules, response to proposals, EPA press releases, newspaper clippings, etc. | Retention: Permanent. Disposition: Break file after resolution of any litigation. Keep in office 1 year, then transfer to the FRC. Keep in FRC 15 years, then offer to the National Archives when 10 years old. |
| 15. | Contracts, Interagency, and Cooperative Agreements - Program Group File. Documentation relating to the formulation, award, and changes in contracts, cooperative agreements with a State to take certain actions to cleanup a uncontrolled hazardous waste site, for studies, demonstrations, and services. Records consist of orders for supplies or services (SF-147), procurement requests, justification statements, task orders, contractor bid evaluations, award notices, contractor staff resumes, contract or agreement, report of payments to contractors, progress reports, change notices, application for assistance, copy of State plan, and other related records records. | Retention: Permanent. Disposition: Break file upon the completion of project. Keep in office 1 year, then transfer to the FRC. When 20 years old offer to NARA in 5 year blocks. |

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U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

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| EMERGENCY AND REMEDIAL RESPONSE RECORDS | | APPLICABLE HEADQUARTERS OFFICE |
| ITEM NO | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 16. | <p><u>Final Reports Resulting From Contractor and Grantee Studies and Services.</u> Final reports submitted by contractors and grantees. Also, includes evaluations and comments by staff members and others.</p> | <p><u>Retention:</u></p> <p>a. <u>Record Copy (Sponsoring Group).</u> Permanent.</p> <p>b. <u>Information Copies.</u> As determined by user's reference needs.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon completion of project evaluation and comment period. Keep in office 1 year, then transfer to the FRC. Keep in the FRC 20 years, then offer to the National Archives when 21 years old.</p> <p>b. <u>Information Copies.</u> Destroy when no longer used.</p> |
| 17. | <p><u>Hazardous Site File.</u></p> <p>a. Contains documentation of policy and decision made by Headquarters and regional personnel concerning the cleanup of uncontrolled hazardous waste sites. Records include correspondence between the Region and Headquarters, other Federal agencies, priority list for cleanup of hazardous waste sites, reports, approval of design and engineering of waste containment/remedial system, request from Region for additional money to continue cleanup operations and other related records. Includes index (paper and microform).</p> <p>Note: The paper record system currently exists; the micrographic records system does not now exist. When the micrographic records system begins, the paper record system will end and will not be converted to microform.</p> | <p><u>PAPER RECORD SYSTEM</u></p> <p><u>Retention:</u> Permanent.</p> <p><u>Disposition:</u> Break file upon completion of all cost-recovery litigation. Keep in office 2 years, then transfer to the FRC. Offer in 5 year blocks to NARA when 20 years old.</p> <p><u>MICROGRAPHIC RECORD SYSTEM</u></p> <p><u>Retention:</u></p> <p>a. <u>Paper Records.</u> Retain until conversion to microform has been completed.</p> <p>b. <u>Microform Copy.</u> Permanent.</p> <p><u>Disposition:</u></p> <p>a. <u>Paper Records.</u> Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.</p> |

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U.S. ENVIRONMENTAL PROTECTION AGENCY—RECORDS CONTROL SCHEDULES

SCHED NO

TITLE OF SCHEDULE

EMERGENCY AND REMEDIAL RESPONSE RECORDS

COVERAGE OF SCHEDULE

APPLICABLE HEADQUARTERS OFFICE

ITEM NO

NAME AND DESCRIPTION OF RECORD/FILE

RETENTION PERIOD AND DISPOSITION

b. Contains documentation and information concerning the remedial investigations and feasibility studies of uncontrolled hazardous waste (superfund) sites. Records include contractor notebooks of field observations, calculations, maps, photographs, drawings, supporting documentation, draft and final reports used in the investigation and choice of a remedial action at a superfund site. Includes indexes (paper and microform).

Note: The paper record system is being terminated and the micrographic records system will soon replace the paper system. Records that cannot be microformed will be retained permanently.

b. Microform Copy. Break file upon completion of all cost-recovery litigation. Keep in office 2 years, then transfer to the FRC. When 20 years old offer to NARA in 5 year blocks.

c. Other Microform Copies. Destroy when no longer needed.

PAPER RECORD SYSTEM

Retention: Permanent.

Disposition: Break file upon completion of all cost-recovery litigation. Keep in office 2 years, then transfer to the FRC. Offer in 5 year blocks when 20 years old.

MICROGRAPHIC RECORD SYSTEM

Retention:

a. Paper Records. Retain until conversion to microform has been completed.

b. Microform Copy. Permanent.

Disposition:

a. Paper records that have been microfilmed. Keep in office until conversion to microform has been completed and microform is verified for completeness, then destroy.

b. Microform Copy. Break file upon completion of all cost-recovery litigation. Keep in office 2 years, then transfer to the FRC. When 20 years old offer to NARA in 5 year blocks.

c. Other Microform Copies. Destroy when no longer needed.

d. Paper records that have not been microformed. Permanent. Keep in office 2 years, then transfer to FRC. Offer to NARA in 5 year blocks when 20 years old.

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| ITEM NO | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 18. | Liability and Financial Responsibility of Owner or Operator. Contains records used to document the decisions made by Headquarters and regional personnel concerning the liability and financial responsibility of an owner/operator of an uncontrolled hazardous waste site. Includes policy and guidance issued by Headquarters to regions, copy of notification from the owner/operator of a facility that the facility is in compliance with Section 107(k)(2) of CERCLA Act, documentation of determination by the Agency that owner/operator has or has not complied, documented verification by EPA that the owner/operator has established appropriate financial responsibility, referral of case for filing of judicial action, demand letters, and other related records. | Retention: Retain 20 years after completion of enforcement and cost-recovery action. Disposition: Break file upon completion of all enforcement and cost-recovery actions. Keep in office 2 years, then transfer to the FRC. Destroy when 20 years old. |
| 19. | Claims. Contains records used to document the decisions made by Headquarters and regional personnel concerning claims filed against the Fund Under Section 112(a) of the CERCLA Act. Includes policy and guidance issued by Headquarters to regions, copy of official claim, documentation of action to settle claim, copy of the agreement of the final settlement of the claim, and other related records. | Retention: Retain 5 years. Disposition: Break file upon settlement of claim/completion of cost-recovery actions. Keep in office 1 year, then transfer to the FRC. Destroy when 5 years old. |
| 20. | Technical Assistance Data System (TAD). Computer printouts showing chemical and physical characteristics and emergency response procedures of 1100 substances (oil and other hazardous materials) which may be hazardous to the public health or welfare or environment if discharged or spilled. | Retention: See Disposition below. Disposition: Keep in office until superseded, then destroy. |
| 21. | Publications, Promotional Items, and Supporting Artwork. General and technical literature and promotional items. Literature and promotional items take the form of handbooks, brochures, pamphlets, buttons, and bumper stickers. Artwork consists of original drawings and photographs. | Retention: a. <u>Distribution Supply Copies.</u> Last print date plus 3 years. b. <u>Information Copies.</u> As determined by user's reference needs. Disposition: a. <u>Distribution Supply Copies.</u> Break file after printing and initial distribution. After 3 years destroy undistributed copies. b. <u>Information Copies.</u> Destroy when no longer needed. |

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| ITEM NO | NAME AND DESCRIPTION OF RECORD/FILE | RETENTION PERIOD AND DISPOSITION |
| 22 | <p><u>Congressional Reports.</u> Reports prepared by the Administrator for the Emergency Response Program which are submitted to the President and Congress. Reports address the implementation of the Comprehensive Environmental Response, Compensation and Liability Act in terms of the effectiveness of the Government to respond to and mitigate the effects of releases of hazardous substances; summary of past receipts and disbursements from the Fund; projection of future funding needs remain after the expiration of authority to collect taxes; record and experience of the Fund in recovering Fund disbursements from liable parties; State participation in the system of response, liability, and compensation established by the Act. Also, prepare report which identify additional hazardous wastes and recommend appropriate tax rates for such wastes for the Post-closure Liability Trust Fund.</p> | <p><u>Retention:</u></p> <p>a. <u>Record Copy.</u> Permanent.</p> <p>b. <u>Information Copies.</u> Retain 3 years.</p> <p><u>Disposition:</u></p> <p>a. <u>Record Copy.</u> Break file upon transmission to Congress. Keep in office for 3 years, then transfer to the Federal Record Center. Keep in FRC for 15 years, then offer to the National Archives in 10 year blocks.</p> <p>b. <u>Information Copies.</u> Destroy when 3 years old or sooner if no longer needed.</p> |

RECORDS MANAGEMENT MANUAL

Atch to SF 115 (Revised Item Numbers compared to previous Item Numbers,
Schedule Number, and NARS Job Number)

Title Of Schedule: Emergency And Remedial Response Records

| <u>REVISED</u> <u>Item Numbers</u> | <u>Item No.</u> | <u>PREVIOUS</u> <u>Schedule No.</u> | <u>NARS Job No.</u> |
|---------------------------------------|-----------------|--|---------------------|
| 1. | 1. | | NCl-412-85-10 |
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Atch to SF 115 (Info for "PERMANENT" retention records)

Title of Schedule: Emergency And Remedial Response Records

| <u>Item No.</u> | <u>Volume On Hand/Cu.Ft.</u> | <u>Growth Per Year/Cu.Ft.</u> | <u>Arrangement Of Files</u> |
|-----------------|----------------------------------|-----------------------------------|---------------------------------|
| 15 | 30 | 10 | Alphabetical + Numerical |