

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

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

1. FROM (Agency or establishment)  
 U.S. Environmental Protection Agency

2. MAJOR SUBDIVISION  
 Various

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER  
 Michael L. Miller, Rec. Off.

5. TELEPHONE  
 202-260-5911

LEAVE BLANK (NARA use only)

JOB NUMBER  
 N1-412-94-3

DATE RECEIVED  
 10-19-93

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE  
 1-17-96

ARCHIVIST OF THE UNITED STATES  
*John W. Carl*

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 192 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  
 10/7/93

SIGNATURE OF AGENCY REPRESENTATIVE  
*Michael L. Miller*  
 Michael L. Miller

TITLE  
 Agency Records Officer

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NAF USE ONLY)
	<p>Schedule submission includes items covering <del>Agency-wide, Headquarters-wide, Regional, and Superfund and RCRA records.</del></p> <p>Superseded job citations listed on individual items.</p>		

# EPA Records Schedule 050

*Item 7*

**Status:** Final, 02/12/2007

**Title:** Comprehensive Environmental Response, Compensation and Liability Information System (CERCLIS)

**Program:** Superfund

**Applicability:** Agency-wide

**Function:** 108-024 - Environmental Remediation

**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.

- N1-412-94-3/7

**Description:**

The Comprehensive Environmental Response, Compensation and Liability Information System (CERCLIS) supports EPA headquarters and regional offices in the management and oversight of the Superfund program. Its purpose is to maintain an automated inventory of abandoned, inactive, or uncontrolled hazardous waste sites regulated under CERCLA and to act as a vehicle for regional offices to report the status of major stages of site cleanup to headquarters. The system maintains and produces information on all aspects of hazardous waste sites from initial discovery to listing on the National Priorities List (NPL). This includes an inventory of sites, planned and actual site activities, financial information, and audit reports.

**Disposition Instructions:**

**Item a:** Electronic software program

- **Disposable**
- Delete 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**

- Close at the end of each fiscal year when tapes for the fourth quarter report are sent to NTIS.
- Beginning FY 1996, transfer annually to the National Archives as specified in 36 CFR 1228.270 or applicable standards at the time.

**Item d: Output and reports**

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

**Item e: System documentation**

- **Permanent**
- Close at the end of each major version change of CERCLIS.
- Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives. This documentation would be transferred along with the annual transfer of the electronic data (item c) for the fiscal year in which the major version change occurred.

**Guidance:**

The Information Management Center (IMC) in the Office of Emergency and Remedial Response (OERR), in the Office of Solid Waste and Emergency Response (OSWER) is responsible for implementing the disposition for items a, c and e. Output and reports (item d), filed with other records are retained according to the disposition instructions for the records they support.

Since the electronic data on all site activity is being captured for permanent retention every fiscal year, the deletion of data on NFRAP sites will not involve the destruction of permanent record information on these sites.

**Reasons for Disposition:**

The system supports various budget and reporting functions for the Superfund program. The electronic data provides an ongoing history of hazardous waste sites as well as information to state and federal agencies managing the cleanup of these sites, which requires preservation for its historical and informational value. CERCLIS was identified by the National Academy of Public Administration as a database NARA would acquire.

**Custodians:**

Office of Solid Waste and Emergency Response, Office of Emergency and Remedial Response, Information Management Center

- **Contact:** Patricia Gowland
- **Telephone:** 703-603-8721

**Related Schedules:**

EPA 171

**Previous NARA Disposal Authority:**

**Entry:** 05/14/1992

**EPA Approval:** 10/07/1993

**NARA Approval:** 01/17/1996

# EPA Records Schedule 052

**Status:** Final, 02/12/2007

*Item 8*

**Title:** Superfund Cost Recovery Package Imaging and On-Line System (SCORPIOS)

**Program:** Superfund

**Applicability:** Headquarters

**Function:** 402-124 - Accounting

**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.

- N1-412-94-3/8

## **Description:**

SCORPIOS (Superfund Cost Recovery Package Imaging and On-Line System) was formerly known as STARS (Superfund Transaction Automated Retrieval System) and SCRIPS (Superfund Cost Recovery Image Processing System). Through the use of image processing technology, SCORPIOS facilitates the storage and retrieval of all site-specific Superfund cost documentation. Input records include timesheets, travel vouchers, miscellaneous expenditures, contract invoices, IAG payments, and other supporting cost documentation. This application is used to generate the financial documentation for the cost recovery package.

SCORPIOS captures financial documentation images at Regional and field sites (i.e., Washington, Cincinnati, RTP) throughout the country. Initially, all those images were stored centrally at EPA's National Computer Center (NCC) data processing facility. The system has been decentralized into each of the Regions.

## **Disposition Instructions:**

**Item a:** Electronic software programs

- **Disposable**
- Close when each major version is discontinued and/or when superseded by routine software updates.
- When each major version of SCORPIOS is discontinued, maintain current version on tapes or cartridges for 3 years following NTSD directives and procedures. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

**Item b:** Input

- **Varies**
- Follow instructions for related records.

**Item c:** Electronic data

- **Disposable**
- Close when information on whole optical disk is superseded, has been transferred to other storage media, or is no longer necessary for the generation of cost recovery packages.
- Keep optical disk containing electronic data 1 year after closure, then destroy or recycle disks and related indexes.

**Item d:** Output and reports

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

**Item e:** Supporting documentation

- **Disposable**
- Close when each major version is discontinued.
- Delete when 15 years old.

**Guidance:**

SCORPIOS is under the control of the Office of the Chief Financial Officer, Office of Financial Management Division, Program Costing Staff. The system manager is directly responsible for implementing the disposition of items a, c, and e. All related input records (item b) are filed with related records and are to be dispositioned according to the instructions for the related records by the offices maintaining these records. Related input records include:

- EPA 001 - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 020 - Contract Management Records - Superfund Site Specific
- EPA 024 - Cost Recovery Records
- EPA 258 - Final Deliverables from Contractor Studies and Services

Output records (item d) are filed with related records and are dispositioned according to the instructions for the related records by the office maintaining the records. The official copy of all financial documentation output included in the cost recovery package is filed in EPA 024 - Cost Recovery Records under the custodianship of Waste Management Cost Recovery program offices who are responsible for maintenance of this output report. Financial documentation outputs include Project/Site History Reports and Annual Allocation Reports. Copies of these reports held in the following series are to be dispositioned according to the instructions for those records:

- EPA 013 - Removal Site Files - Superfund Site Specific
- EPA 014 - Remedial Site Files - Superfund Site Specific
- EPA 025 - Enforcement Actions - Superfund Site Specific

This system, formerly known as STARS - Superfund Transaction Automated Retrieval System, is not related to the system covered in EPA 196 - Strategic Targeted Activities for Results System - STARS.

**Reasons for Disposition:**

SCORPIOS is an application used to prepare cost recovery packages used for litigation and cost recovery. The input and output are retained in paper format and maintained for the necessary time periods.

**Custodians:**

Office of the Chief Financial Officer, Office of Financial Management, Program Costing Staff

- **Contact:** Tommy Brown
- **Telephone:** 202-564-4936

**Related Schedules:**

EPA 001, EPA 013, EPA 014, EPA 020, EPA 024, EPA 025, EPA 258

**Previous NARA Disposal Authority:**

**Entry:** 05/14/1992

**EPA Approval:** 10/07/1993

**NARA Approval:** 01/17/1996

ITEM  
849

DRAFT OF 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Oil and Hazardous Materials Technical Assistance Data System (OHMTADS)

PROGRAM: Superfund

EPA SERIES NO: 059A

NARA SCHEDULE NO. Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: OHMTADS supports OSWER's response program operations. The data base contains profiles on approximately 1,400 oil and hazardous substances. The profiles provide chemical identification information such as chemical name, manufacturer's name for the chemical (trade name), Chemical Abstract Service (CAS) number; quality assured data on chemical and physical properties (e.g., flashpoint reactions with other substances); uses; and effects on human health and the environment. The system also recommends response procedures for handling and disposing of releases or spills (e.g., methods for evacuation, disposal information, transportation information, protective equipment information). In addition, it contains lists of regulations covering production, use, or distribution of chemicals.

OHMTADS information is made available for commercial distribution in a variety of formats; including ONLINE, diskette, microfilm, magnetic tape, and CD-ROM.

ARRANGEMENT: Arrangements varies.

TYPE OF RECORDS:  
Data files, printouts

SPECIFIC RESTRICTIONS:  
None

MEDIUM:  
Electronic, paper, microfilm, optical

VITAL RECORD:  
No

FUNCTIONS SUPPORTED:  
Program operations

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, Section 104

EPA SERIES NO. 059A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. OHMTADS electronic software programs: Disposable

TRANSFER TO FRC PERMITTED:

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

b. Break input systems files according to instructions for EPA 171A - Input/Source Records and all other material according to EPA 008A - Technical Reference Material.

c. Break file when information is submitted to commercial vendors for distribution.

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

e. Break file when each major version is discontinued.

DISPOSITION INSTRUCTIONS:

a. When each major version of OHMTADS is discontinued, maintain current version on tapes or cartridges for 1 year following procedures required in NDPD's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 1 year, the tapes are to be destroyed by degaussing. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Follow disposition instructions for related records.

c. Upon submittal of each version of OHMTADS for distribution, transfer current data sets to NDPD tapes, along with tape layout, block size, and other tape specifications, according to NDPD policies. Instruct NDPD to hold tapes for 1 year, then destroy data through degaussing.

d. Follow disposition instructions for related records.

e. Keep in office at least 1 year after file break, then retire to FRC in paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: OHMTADS is a collection of scientific and technical data extracted from a wide variety of sources, both commercial and governmental, and is collectively presented in a user-friendly format for Agency and public use.

## EPA SERIES NO. 059A

**AGENCYWIDE GUIDANCE:** OHMTADS is under the control of the Oil Pollution Response and Abatement Branch (OPRAB) of the Emergency Response Division (ERD) in the Office of Emergency and Remedial Response (OERR). OERR/ERD/OPRAB staff is directly responsible for implementing the disposition for items a, b, c, and e. All related output, item d, generated for Agency use will be in the form of print files and reports to be filed in a related case or program file. All output formats generated for commercial distribution are to be considered technical reference and can be destroyed when superseded.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:** OHMTADS is updated on a periodic basis as needed.

CUSTODIAL INFORMATION:**CONTROLLING UNIT:**

Name: OERR/ERD/OPRAB

Location: EPA Headquarters

Inclusive Dates: 1980 to present

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)**CONTACT POINT:**

Name: Richard Norris

Mail Code: 5202G

Telephone: 703-603-9053

Office: OPRAB

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 008A, EPA 171A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	4/28/93

# EPA Records Schedule 060

*Item 10*

**Status:** Final, 02/12/2007

**Title:** Emergency Response Notification System (ERNS)

**Program:** Superfund

**Applicability:** Agency-wide

**Function:** 104-010 - Emergency Response

## **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.

- N1-412-94-3/10

## **Description:**

The Emergency Response Notification System (ERNS) is a national computer database used to store information on releases of oil and hazardous substances. ERNS supports the Emergency Response and the Title III program.

The ERNS program is a cooperative effort among EPA Headquarters, the Department of Transportation (DOT), National Transportation Systems Center (NTSC), the ten EPA Regions, the U.S. Coast Guard (USCG), and the National Response Center (NRC).

ERNS provides the most comprehensive data compiled on release notifications of oil and hazardous substances in the United States. When a release report is submitted to Federal authorities (e.g., NRC or Regional offices), the individual reporting is asked a series of questions regarding the release (e.g., type, location, volume). Information concerning all releases originally reported to the NRC or EPA Regional offices is entered into local computers and transmitted electronically from the NRC or EPA Regional office to the NTSC, where it becomes part of the ERNS national database.

The procedures for maintaining the initial reports differs between the NRC and the EPA Regions. The NRC maintains electronic copies of all spill reports as they were initially received and does not make any changes to spill reports once they have been entered into the system. Reports received by the NRC contain information that may be valuable to the on-scene coordinators, as well as to enforcement personnel. The information received by the NRC is sent to the Regional offices through the Volpe National Transportation Systems Center (VNTSC). Since these reports may be used in enforcement actions, it is necessary to maintain a copy of the spill report as it was originally reported.

Each EPA Region maintains its own Region-specific database, which is a subset of the national data base. Initial spill reports made directly to an EPA Region are maintained as hard copies and kept in the individual Regional office. When additional information on a release notification is obtained, it is also entered at the Regional level and electronically transmitted to the national system. An initial and modified

copy of each report is maintained at VNTSC to preserve data integrity.

**Disposition Instructions:**

**Item a:** Electronic software programs

- **Disposable**
- Delete when discontinued or superseded by routine program updates.

**Item b:** Input

- **Varies**
- Follow instructions for EPA 091 - CERCLA 103 Notifications.

**Item c:** Electronic data

- **Disposable**
- Transfer current data sets to tapes, along with tape layout, block size, and other tape specifications, according to established procedures at end of fiscal year. Current data sets include a consolidation of all ERNS initial input data captured in the monthly backups performed by Regional central computer centers along with the input received from NRC. Instruct NTSD to hold tapes for 30 years, then destroy data through degaussing.

**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:**

ERNS is under the control of the Oil Program Center (OPC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/OPC staff are directly responsible for implementing the disposition according to items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091 - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems and ad hoc reports according to the instructions in items b and d.

Output systems containing initial data being transferred from the EPA Regional offices to the NRC are not covered by item d of this series. This initial electronic data is captured by each Regional computer center as part of their routine monthly backups. At the end of each fiscal year, the ERNS data files from each monthly backup are to be consolidated and transferred to NDPD tapes and dispositioned according to item c. This process is necessary to capture the initial input of data which may be necessary for verification of the time and date of the initial notification.

Ad hoc output reports held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175 - Print Files.

Records containing any sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

**Reasons for Disposition:**

ERNS tracks initially invalidated data, at a high level. It is used primarily as a preliminary tool to identify potentially hazardous situations and serves as a mechanism to document and verify incident-location information. Initial input by Regional offices is needed for litigation support. In addition, ERNS is used to review trends in material spills and releases. Initial and updated information is used as a basis for reporting and analyzing trends.

**Custodians:**

Office of Solid Waste and Emergency Response, Office of Emergency and Remedial Response, Oil Program Center

- **Contact:** Dana Stalcup
- **Telephone:** 703-603-8735

**Related Schedules:**

EPA 056, EPA 061, EPA 091, EPA 175

**Previous NARA Disposal Authority:**

**Entry:** 05/30/1992

**EPA Approval:** 10/07/1993

**NARA Approval:** 01/17/1996

# EPA Records Schedule 061

**Status:** Final, 02/12/2007

*Item 4*

**Title:** Continuous Release Emergency Response Notification System (CR-ERNS)

**Program:** Superfund

**Applicability:** Agency-wide

**Function:** 104-010 - Emergency Response

**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.

- N1-412-94-3/11

**Description:**

CR-ERNS is an information system that serves as the central depository for all continuous release information received by the EPA Regions. The national data base is housed at the Transportation Systems Center (TSC) in Cambridge, Massachusetts. CR-ERNS is currently installed in all ten EPA Regions. The system is specifically designed to help EPA Regional personnel manage continuous release information and establish priorities with respect to the review and evaluation of continuous release reports. The kinds of information collected include the source of the continuous release, the environmental medium affected, certain ecological and population density information, and a brief statement describing the basis for asserting that the release is continuous and stable in quantity and rate.

A key feature contained in each Regional system is a screening level risk assessment model, called the Priority Assessment Model (PAM). PAM assists Regional personnel in the evaluation of the long-term (i.e., chronic) threat posed by a continuous release. CR-ERNS supports the Emergency Response Program.

**Disposition Instructions:**

**Item a:** CR-ERNS electronic software program

- **Disposable**
- Delete when superseded by routine program updates.

**Item b:** Input

- **Varies**
- Follow instructions for EPA 091 - CERCLA 103 Notifications.

**Item c: Electronic data**

- **Permanent**
- Transfer data to the National Archives in 1996, as specified in 36 CFR 1228.270 or standards applicable at the time. Thereafter, transfer each major version change the year when the version is superseded or discontinued.

**Item d: Output and reports**

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

**Item e: Supporting documentation**

- **Permanent**
- Transfer to the National Archives in 1996 as specified in 36 CFR 1228.270 or standards applicable at the time. Subsequent transfer of documentation occurs with the transfer of the electronic data (item c) the year when the version is superseded or discontinued.

**Guidance:**

CR-ERNS is under the control of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR staff are directly responsible for implementing the disposition according to series items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091 - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems according to the instructions in items b and d. All ad hoc output records held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175 - Print Files.

**Reasons for Disposition:**

Records must be kept to support litigation and regulatory activities. Hard copies of input records must be kept for the narrative element as well as certification purposes.

**Custodians:**

Office of Solid Waste and Emergency Response, Regions 4/10 Accelerated Response Center

- **Contact:** Lynn Beasley
- **Telephone:** 703-603-9086

**Related Schedules:**

EPA 056, EPA 060, EPA 091, EPA 175

**Previous NARA Disposal Authority:**

**Entry:** 05/30/1992

**EPA Approval:** 10/07/1993

**NARA Approval:** 01/17/1996

# EPA Records Schedule 064

*Item 12*

**Status:** Final, 02/12/2007

**Title:** CLP Analytical Results Data Base (CARD)

**Program:** Superfund

**Applicability:** Agency-wide

**Function:** 108-024-01 - Site and Area Evaluation and Cleanup

## **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.

- N1-412-94-3/12

## **Description:**

CARD tracks and monitors Contract Laboratory Program (CLP) analytical services as reported by CLP laboratories. The system provides inspections of deliverables from laboratory contractors (contract compliance screening - CCS), supports methods and QA requirements development, and serves as a comprehensive data base of results (e.g., QA/QC result studies). It also includes analytical analyses such as identification and concentration values for each hazardous substance found in each sample taken at Superfund sites, pertinent physical descriptions such as sample matrix and weight or volume, and trend analysis for methods development and refinement. Currently, the data base is being expanded to include similar information from new services such as Low Concentration Organic and Inorganic and Quick Turnaround Method (QTM) analyses. System discontinued in 1999.

## **Disposition Instructions:**

### **Item a:** Electronic software programs

- **Disposable**
- Delete when superseded by routine software updates.

### **Item b:** Input

- **Varies**
- Follow instructions for the related records. For input systems, follow disposition instructions for EPA 171 - Input and Source Records.

### **Item c:** Electronic data

- **Permanent**
- In 1996, transfer to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time. Thereafter, transfer each major version change the year when the version is superseded or discontinued.

**Item d: Output and reports**

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

**Item e: Supporting documentation**

- **Permanent**
- In 1996, 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. Subsequent transfer of documentation will occur with the transfer of the electronic data (item c) the year when the version is superseded or discontinued.

**Guidance:**

CARD is under the control of the Analytical Operations Center (AOC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/AOC staff are directly responsible for implementing the disposition according to series items a, c, and e.

Analytical data input, under item b, and output, under item d, are contained in the related record series EPA 018 - Sampling and Analytical Data Files - Superfund Site-Specific. Analytical data input includes contract deliverables of the sampling data. All are permanent records.

Contract management data input, under item b, and output, under item d, are contained in the related record series EPA 024 - Cost Recovery Records or EPA 020 - Contract Management Records - Superfund Site-Specific, which have a 30-year retention value following the file break.

Ad hoc reports and routine printouts (not part of EPA 018, EPA 024, or EPA 020) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175 - Print Files.

CARD incorporates data formerly held in Contract Laboratory Program Quality Assurance (CLPQA).

**Reasons for Disposition:**

CARD is EPA's major vehicle for obtaining chemical analyses from Superfund sites as well as providing oversight of CLP laboratories by Regional and Headquarters personnel. The analytical data contained in CARD was previously scheduled as part of NC1-412-85-18/23. The disposition of the data, as held in the paper input, paper output, and electronic data, is unchanged. CARD also holds contract monitoring data, previously included as part of NC1-412-85-27/III/6, which is used for Superfund cost recovery.

**Custodians:**

Office of Solid Waste and Emergency Response, Analytical Operations and Data Quality Center

- **Contact:** David S. Eng
- **Telephone:** 703-603-8827

**Related Schedules:**

EPA 013, EPA 014, EPA 018, EPA 020, EPA 024, EPA 065, EPA 171, EPA 175

**Previous NARA Disposal Authority:**

**Entry:** 05/14/1992

**EPA Approval:** 10/07/1993

**NARA Approval:** 01/17/1996

# EPA Records Schedule 065

**Status:** Final, 02/12/2007

*Item 13*

**Title:** Sample Tracking and Invoice Payment System (TIP)

**Program:** Superfund

**Applicability:** Agency-wide

**Function:** 108-024-01 - Site and Area Evaluation and Cleanup

**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.

- N1-412-94-3/13

**Description:**

The Sample Tracking and Invoice Payment system (TIP) tracks samples ordered for analysis by Contract Laboratory Program (CLP) laboratories. Tracking includes the initial order by Regional sample control coordinators, shipment by sampling teams, receipt by laboratories and submission of results by EPA. Following receipt of the results, the system records and supports payment recommendations on individual invoices. The Analytical Operations Center (AOC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER) receives summary reports of TIP's activities.

**Disposition Instructions:**

**Item a:** Electronic software programs

- **Disposable**
- Delete after routine software updates.

**Item b:** Input

- **Varies**
- Follow instructions for related records. For input systems, follow instructions for EPA 171 - Input and Source Records.

**Item c:** Electronic data

- **Disposable**

- Close at end of each major version change.
- Transfer current data sets to tapes, along with tape layout, block size, and other tape specifications, according to NTSD directives and procedures. Instruct NTSD to hold tapes for 30 years, then delete.

**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:**

TIP is under the control of the Analytical Operations Center (AOC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/AOC staff are directly responsible for implementing the disposition of items a, c, and e.

Contract management data input, under item b, and output, under item d are officially contained in the related record series EPA 024 - Cost Recovery Records or EPA 020 - Contract Management Records - Superfund Site-Specific, which have a 30-year retention value following the file break. Copies of invoices, traffic reports, and sample summaries may be included in EPA 013 - Removal Site Files - Superfund Site-Specific and EPA 014 - Remedial Site Files - Superfund Site-Specific and would be dispositioned according to the instructions for those records series.

Ad hoc reports and routine printouts (not part of EPA 020, EPA 024, or EPA 018) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175 - Print Files.

**Reasons for Disposition:**

TIP data is used for cost recovery support, audit purposes, and for support of site remediation work assignments. This data was previously included as part of NC1-412-85-27/III/6 which is used for Superfund cost recovery.

**Custodians:**

Office of Solid Waste and Emergency Response, AOC

- **Contact:** David S. Eng
- **Telephone:** 703-603-8827

**Related Schedules:**

EPA 013, EPA 014, EPA 018, EPA 020, EPA 024, EPA 064, EPA 067

**Previous NARA Disposal Authority:**

**Entry:** 05/14/1992

**EPA Approval:** 10/07/1993

**NARA Approval:** 01/17/1996

1

ITEM  
~~89~~ 14

DRAFT OF 5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CLP Statistical Data Base (STAT)

PROGRAM: Superfund

EPA SERIES NO: 067A

NARA SCHEDULE NO. Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: The STAT contains a random sample of the laboratory results produced by the Contract Laboratory Program (CLP). It supports the statistical analysis of occurrence and concentration of priority pollutants and hazardous substances at Superfund sites. Although the Analytical Results Data Base (CARD) now provides a more complete data base of results, this data base will continue to be supported to provide historical results analysis for data prior to the operation of CARD. Thus the two data bases together will support statistical analysis of laboratory results for the entire length of the CERCLA Program.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:  
Data files, reports, ad hoc queries

SPECIFIC RESTRICTIONS:  
None

MEDIUM:  
Electronic, paper

VITAL RECORD:  
No

FUNCTIONS SUPPORTED:  
Program operations

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended

EPA SERIES NO. 067A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. STAT electronic software programs: Disposable	TRANSFER TO FRC PERMITTED: 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 STAT when each major version is discontinued and/or when superseded by routine software updates.
- b. Break file according to instructions for related records. Break input systems according to instructions for EPA 171A - Input/Source Records.
- c. Break file when each major version of STAT is discontinued.
- d. File with appropriate case file or related records. Follow file break instructions for related records.
- e. Break file when each major version of STAT is discontinued.

DISPOSITION INSTRUCTIONS:

- a. For each major version change of STAT, maintain current version on tapes or cartridges for 3 years following procedures required in NNDP's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 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 related records. For input systems, follow disposition instructions for EPA 171A - Input/Source Records.
- c. Transfer current data sets to EPA 064A - CLP Analytical Results Database (CARD) tapes.
- d. Follow disposition instructions for related records.
- e. Keep in office at least 1 year after file break, then retire to FRC in paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: STAT is a support system to the CLP Analytical Results Database (CARD). All data in CLPQA is being transferred to STAT.

AGENCYWIDE GUIDANCE: STAT is under the control of the Analytical Operations Branch (AOB) of the Hazardous Site Evaluation Division (HSED) of the Office of Emergency and Remedial Response (OERR). OERR/HSED/AOB staff is directly responsible for implementing the disposition instructions for items a, c, and e.

**EPA SERIES NO. 067A**

Analytical data input, under item b, and output, under item d, are contained in the related record series EPA 018A, - Sampling and Analytical Data Files - Superfund Site Specific. Analytical data input includes contract deliverables of the sampling data. All are permanent records.

Contract management data input, under item b, and output, under item d, are contained in the related record series EPA 024A - Cost Recovery Records, or EPA 020A - Contract Management Records - Superfund Site Specific, which have a 30-year retention value following the file break.

Ad hoc reports and routine printouts (not part of EPA 018A, EPA 020A, or EPA 024A) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 171A - Print Files.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:****CUSTODIAL INFORMATION:****CONTROLLING UNIT:**

Name: OERR/HSED/AOB

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)**CONTACT POINT:**

Name: David S. Eng

Mail Code: 5204G

Telephone: 703-603-8827

Office: AOB

Room:

**CONTROL INFORMATION:**

RELATED ITEMS: EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 064A

**PREVIOUSLY APPROVED BY**

NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	5/4/93

## EPA SERIES NO. 084A

## U.S. EPA RECORDS CONTROL SCHEDULE

**SERIES TITLE:** Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)

**PROGRAM:** Superfund

**EPA SERIES NO:** 084A

**NARA SCHEDULE NO.** N1-412-94-3/15  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** In contracts or agreements with an indemnification clause, States or potentially responsible parties (PRPs) make a request regarding indemnification of site-specific design and cleanup from EPA Headquarters (HQ). Based on review, EPA HQ issues a decision document granting approval to purchase private insurance or providing for Federal indemnification for the State or contractor. This series includes the request, background materials including relevant portions of the agreement or contract containing the indemnification clause, and the decision document regarding Federal indemnification.

There are two types of indemnifications:

- a. ~~Indemnifications relating to new contracts under the Agency's January 25, 1993 Final Indemnification Guidelines~~ which are subject to a specified time limit;
- b. ~~Indemnifications executed prior to the January 25, 1993 guidelines~~ which are not subject to a specified time limit.

**ARRANGEMENT:**

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**

**MEDIUM:**  
Paper

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, Section 119(c)

EPA SERIES NO. 084A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Disposable

TRANSFER TO FRC PERMITTED:

Yes

b. Permanent

Yes

FILE BREAK INSTRUCTIONS: Break file after the closeout of the response action contract.

DISPOSITION INSTRUCTIONS:

a. Retire to FRC immediately after file break. Destroy when 30 years old.

b. Transfer inactive materials to the appropriate Superfund site file. Follow disposition instructions as detailed in EPA 013A - Removal Records - Superfund Site Specific, or EPA 014A - Remedial Site Files - Superfund Site Specific.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Indemnifications granted prior to the Agency's January 25, 1993 guidelines require permanent retention since indemnifications granted prior to that time have no time limit. Term limits of indemnifications granted after January 25, 1993 vary and may extend beyond the life of the contract. Retaining these indemnifications for 30 years will ensure all actions or issues are resolved prior to disposal.

AGENCY-WIDE GUIDANCE: The portion of the agreement or contract containing the indemnification clause should be retained with the decision document and other related materials.

Superfund site specific contracts are scheduled as EPA 020A. Contracts which are not site specific and or for programs other than Superfund are covered in EPA 202A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

Annual Accumulation:  
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 013A, EPA 014A, EPA 020A, EPA 202A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/2/92	5/24/95

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9015

DRAFT OF 4/27/93

**U.S. EPA RECORDS CONTROL SCHEDULE**

**SERIES TITLE:** Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)

**PROGRAM:** Superfund

**EPA SERIES NO:** 084A

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

**APPLICABILITY:** Agencywide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** In contracts or agreements with an indemnification clause, States or potentially responsible parties (PRPs) make a request regarding indemnification of site-specific design and cleanup from EPA Headquarters (HQ). Based on review, EPA HQ issues a decision document granting approval to purchase private insurance or providing for Federal indemnification for the State or contractor. This series includes the request, background materials including relevant portions of the agreement or contract containing the indemnification clause, and the decision document regarding Federal indemnification.

**ARRANGEMENT:**

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**

**MEDIUM:**  
Paper

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, Section 119(c)

EPA SERIES NO. 084A

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Permanent

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file after the closeout of the response action contract.

DISPOSITION INSTRUCTIONS: Retain inactive materials in office 1 year after file break, then retire to FRC. Transfer to the National Archives 20 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: These records require permanent retention because Federal indemnification, when granted, has no time limit.

AGENCYWIDE GUIDANCE: Permanent retention of a comprehensive indemnification decision case file requires the portion of the agreement or contract containing the indemnification clause be retained with the decision document and other related materials.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

CONTACT POINT:

Name: OSWER/OERR/HSCD/DCMB/RACS

Name: Barbara McDonough

Location: EPA Headquarters

Mail Code: OS-220W

Inclusive Dates:

Telephone: 703-308-8348

Volume on Hand (Feet):

Office: RACS

Annual Accumulation:  
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/2/92	4/27/93

1 TFM  
9/16

DRAFT OF 4/27/93

**U.S. EPA RECORDS CONTROL SCHEDULE**

**SERIES TITLE:** Administrative Decision Records

**PROGRAM:** Superfund

**EPA SERIES NO:** 085A

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

**APPLICABILITY:** Agencywide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** CERCLA 106(b) allows potentially responsible parties (PRPs) to petition the Fund for reimbursement of reasonable costs of response actions if they can prove they were not liable for the response costs or they can demonstrate, on the administrative record, the response action ordered was arbitrary and capricious or otherwise not in accordance with the law. These records include 106(b) petitions, correspondence with the petitioner and the Region, the Preliminary Decision Document, comments by the petitioner and the Region on the preliminary decision, the Final Decision Document, and other relevant documentation.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
Confidential Business Information  
Enforcement Sensitive Information

**MEDIUM:**  
Paper, electronic

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Enforcement and cost recovery activities

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Sections 101, 106(b), and 107

EPA SERIES NO. 085A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file when final decision has been issued or when settlement is completed.

DISPOSITION INSTRUCTIONS: Retain inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records required for litigation and cost recovery support.

AGENCYWIDE GUIDANCE: Related Superfund site-specific records are covered in the following items:

- EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 010R - Site Assessment
- EPA 012A - Federal Facilities Hazardous Waste Sites
- 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 019A - 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

Local Government Reimbursement Program records are scheduled as EPA 080H and Claims Against the Fund as EPA 087A.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or exempted from disclosure by statute such as the Privacy Act must be shredded with witness disposal.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: EAS

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)

CONTACT POINT:

Name: Fred Zimmerman

Mail Code: OS-510

Telephone: 202-260-3656

Office: OSWER/OWPE/CED/GEB/EAS

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 001A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 025A, EPA 080H, EPA 087A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: ~~NC1-412-85-10/19~~ NC1-412-82-12/15

EPA SERIES NO. 085A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		7/16/92	4/27/93

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9517

DRAFT OF 4/27/93

**U.S. EPA RECORDS CONTROL SCHEDULE**

**SERIES TITLE:** National Contingency Plan (NCP) Product Files

**PROGRAM:** Superfund

**EPA SERIES NO:** 086A

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

**APPLICABILITY:** Agencywide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** The NCP requires EPA to maintain an NCP Product Schedule of dispersants and other chemical or biological products that may be authorized for use on oil discharges. Applicants who wish to list their product must submit the appropriate technical product data to EPA in accordance with 40 CFR 300, Subpart J. Records associated with NCP product files include the NCP Product Schedule and associated data base, vendor applications, interim correspondence, telephone notes, Agency and contractor review documentation, correspondence, Technical Bulletins, and associated records.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Data file, Correspondence,  
Reports, Lists

**SPECIFIC RESTRICTIONS:**  
Confidential Business Information

**MEDIUM:**  
Paper, electronic

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Oil Pollution Act of 1990  
40 CFR 300, Subpart J

EPA SERIES NO. 086A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file when superseded or obsolete.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 3 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records provide ongoing support and reference for oil on water spills. These records are not permanent at this time because no formal approval process or decision element by the Agency is in place. The Agency is currently accepting applications and product information only.

AGENCYWIDE GUIDANCE: Reference copies of the NCP Product Schedule and Technical Bulletins held in the Regions are disposable when no longer needed.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or exempted from disclosure by statute such as the Privacy Act must be shredded with witness disposal.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CREATING UNIT:

Name: OPRAS

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)

CONTACT POINT:

Name: Gail Thomas

Mail Code: 5202-G

Telephone: 703-603-8736

Office: OSWER/OERR/ERD/RSCB/OPRAS

Room: 13337

CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		7/15/92	4/27/93

ITEM  
~~79~~ 18

DRAFT OF 5/5/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Claims Against the Fund

PROGRAM: Superfund

EPA SERIES NO: 087A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: This series contains records used to document the decisions made by Headquarters and Regional personnel concerning claims against the Fund under various sections of CERCLA. Includes a copy of the official response claim, documentation of action to settle the claim, a copy of the agreement of the final settlement of the claim, and other related records.

This series also includes claims filed against the Fund under mixed funding agreements (preauthorization, cashouts, mixed work). Records particular to mixed funding agreements include the application, and a preauthorization decision document, and claims filed periodically against the Fund.

ARRANGEMENT: Arranged by site.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:

MEDIUM:  
Paper, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:  
Enforcement and cost recovery activities

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Sections 111, 112, and 122

EPA SERIES NO. 087A

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Disposable

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file upon settlement of claim.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The applicability of this series has been extended providing Agencywide coverage. The retention has been extended to parallel other functions (cost recovery and enforcement) which the records support.

AGENCYWIDE GUIDANCE: Cost Recovery Records are scheduled as EPA 024A. See EPA 025A for Enforcement Actions - Superfund Site Specific. Administrative Decision Records are covered in EPA 085A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: SLCB

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)

CONTACT POINT:

Name: Denise Ergener

Mail Code: OS-220W

Telephone: 202-308-8339

Office: OSWER/OERR/HSCD/SLCB

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 024A, EPA 025A, EPA 085A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: -NE1-412-85-10/19, NC1-412-85-18/26 NC1-412-82-12/15

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/25/92	5/5/93

EPA SERIES NO. 091A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CERCLA Section 103 Notifications

PROGRAM: Superfund

EPA SERIES NO: 091A

NARA SCHEDULE NO. N1-412-94-3/19  
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act, Section 103 requires the notification of any spill or other release of a hazardous substance that equals or exceeds a reportable quantity (RQ). There are three types of reporting requirements under CERCLA: CERCLA 103(a) for actual releases, including spills, of hazardous substances; CERCLA 103(c) for facilities where hazardous wastes have been disposed of and where such releases might occur; and CERCLA 103(f)(2) for releases that are continuous and stable in quantity and rate. May also include petroleum products as well as non-hazardous reported releases.

Documents include records of communication recording the immediate notification to the EPA or National Response Center by phone; EPA Form, Notification of Hazardous Waste Site; initial written report for continuous releases citing the location and/or facility, the amount(s) and type(s) of the hazardous substance or waste, and location layout; and written follow-up report.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:  
Confidential Business Information  
Enforcement Sensitive Information

MEDIUM:  
Papers, forms, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:  
Program operations

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act, Section 103  
Title III of Superfund Amendments and Reauthorization Act (Emergency Planning and Community Right-to-Know Act), Section 304  
Oil Pollution Act of 1990  
40 CFR 302

EPA SERIES NO. 091A

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Permanent

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep in office for at least 1 year following file break, then retire to FRC. Transfer to the National Archives 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: CERCLA 103 notifications form the basis for several Superfund activities including the creation of the National Priorities List from the 103(c) one-time notifications and may be required as part of the complete record of the Superfund site removal and remediation process as well as for cost recovery support and enforcement.

AGENCY-WIDE GUIDANCE: CERCLA 103 notifications are the responsibility of the appropriate Regional offices receiving the initial notification or receiving the written follow-up report.

The Accidental Release Information Program (ARIP) is scheduled as EPA 056A. See EPA 060A for the Emergency Response Notification System (ERNS) and EPA 061A for the Continuous Release Emergency Response Notification System (CERNS).

As required by 32 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witness disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

Annual Accumulation:  
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 056A, EPA 060A, EPA 061A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/29/93	7/26/95

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9/19

DRAFT OF 7/2/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CERCLA Section 103 Notifications

PROGRAM: Superfund

EPA SERIES NO: 091A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: Under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act, Section 103 requires the notification of any spill or other release of a hazardous substance that equals or exceeds a reportable quantity (RQ). There are three types of reporting requirements under CERCLA: CERCLA 103(a) for actual releases, including spills; of hazardous substances; CERCLA 103(c) for facilities where hazardous wastes have been disposed of and where such releases might occur; and CERCLA 103(f)(2) for releases that are continuous and stable in quantity and rate. May also include petroleum products as well as non-hazardous reported releases.

Documents include records of communication recording the immediate notification to the EPA or National Response Center by phone; EPA Form, Notification of Hazardous Waste Site; initial written report for continuous releases citing the location and/or facility, the amount(s) and type(s) of the hazardous substance or waste, and location layout; and written follow-up report.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:  
Confidential Business Information  
Enforcement Sensitive Information

MEDIUM:  
Papers, forms, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:  
Program operations

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act, Section 103  
Title III of Superfund Amendments and Reauthorization Act (Emergency Planning and Community Right-to-Know Act), Section 304  
Oil Pollution Act of 1990  
40 CFR 302

EPA SERIES NO. 091A

DISPOSITION INFORMATION:FINAL DISPOSITION:  
PermanentTRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep in office for at least 1 year following file break, then retire to FRC. Transfer to the National Archives 20 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: CERCLA 103 notifications form the basis for several Superfund activities including the creation of the National Priorities List from the 103(c) one-time notifications and may be required as part of the complete record of the Superfund site removal and remediation process as well as for cost recovery support and enforcement.

AGENCYWIDE GUIDANCE: CERCLA 103 notifications are the responsibility of the appropriate Regional offices receiving the initial notification or receiving the written follow-up report.

The Accidental Release Information Program (ARIP) is scheduled as EPA 056A. See EPA 060A for the Emergency Response Notification System (ERNS) and EPA 061A for the Continuous Release Emergency Response Notification System (CR-ERNS).

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

Volume on Hand (Feet):

Office:

Annual Accumulation:  
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 056A, EPA 060A, EPA 061A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/29/93	7/2/93

DRAFT OF 7/13/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Trade Secret Files Under Emergency Planning and Community Right-To-Know Act for Sections 303, 311 and 312

PROGRAM: Superfund

EPA SERIES NO: 048H

NARA SCHEDULE NO. N1-412-94-3/20  
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Contains documents relating to the requirement for submission of information to State and local governments on the presence, inventory and storage of chemical substances by facilities under Sections 303, 311 and 312 of the Superfund Amendments and Reauthorization Act of 1986. Information collected includes trade secret claims submitted to EPA under Section 322 of SARA Title III and includes information collected relating to the accuracy of a claim of trade secret for the identity of substances reported under Sections 303, 311 and 312. Includes chemical identity, substantiation of trade secret eligibility, and other information on the chemical for which trade secret protection is being claimed.

ARRANGEMENT: Arranged by batch number.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:  
Confidential Business Information

MEDIUM:  
Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:  
Program oversight

SPECIFIC LEGAL REQUIREMENTS:  
SARA Title III - Emergency Planning and Community Right-To-Know Act, Sections 303, 311 and 312  
40 CFR 372

EPA SERIES NO. 048H

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Disposable

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 20 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records provide essential documentation of EPA's statutory and regulatory responsibilities.

AGENCY-WIDE GUIDANCE: The records of this series are maintained by CEPP0 in OSWER at Headquarters.

See EPA 224A for EPCRA records kept by other headquarters and regional programs. Toxic Substances Facility Files are covered in EPA 227R and files related to State Oversight in EPA 203A. The EPCRA Targeting System (ETS) is scheduled as EPA 266A and the Toxic Substances Release System (TRIS) as EPA 272A.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witness disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: Records received in the office are for the preceeding calendar year. Retire files in sealed boxes. Retrieva only whole boxes. Access is limited to EPA employees or authorized EPA contractors.

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

CONTACT POINT:

Name: CEPP0

Name: Dorothy McManus

Location: WSM

Mail Code: 5101

Inclusive Dates: 1987-

Telephone: 202-260-8606

Volume on Hand (Feet): 36 cu. ft. Office: OSWER

Annual Accumulation: 5 cu. ft. Room: 3606  
(feet or inches)

CONTROL INFORMATION:

RELATED ITEMS: EPA 203A, EPA 224A, EPA 227R, EPA 266A, EPA 272A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/5/95	7/13/95

DRAFT OF 3/6/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Trade Secret Files Under Emergency Planning and Community Right-To-Know Act for Sections 303, 311 and 312

PROGRAM: Superfund

EPA SERIES NO: 048H

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

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Contains documents relating to the requirement for submission of information to State and local governments on the presence, inventory and storage of chemical substances by facilities under Sections 303, 311 and 312 of the Superfund Amendments and Reauthorization Act of 1986. Information collected includes trade secret claims submitted to EPA under Section 322 of SARA Title III and includes information collected relating to the accuracy of a claim of trade secret for the identity of substances reported under Sections 303, 311 and 312. Includes chemical identity, substantiation of trade secret eligibility, and other information on the chemical for which trade secret protection is being claimed.

ARRANGEMENT: Arranged by batch number.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:  
Confidential Business Information

MEDIUM:  
Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:  
Program oversight

SPECIFIC LEGAL REQUIREMENTS:  
SARA Title III - Emergency Planning and Community Right-To-Know Act, Sections 303, 311 and 312  
40 CFR 372

EPA SERIES NO. 048H

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 20 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records provide essential documentation of EPA's statutory and regulatory responsibilities.

AGENCY-WIDE GUIDANCE: The records of this series are maintained by CEPO in OSWER at Headquarters.

See EPA 224A for EPCRA records kept by other headquarters and regional programs. Toxic Substances Facility Files are covered in EPA 227R and files related to State Oversight in EPA 203A. The EPCRA Targeting System (ETS) is scheduled as EPA 266A and the Toxic Substances Release System (TRIS) as EPA 272A.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or those exempted from disclosure by statute such as the Privacy Act must be shredded or otherwise definitively destroyed with witness disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: Records received in the office are for the preceeding calendar year. Retire files in sealed boxes. Retrieve only whole boxes. Access is limited to EPA employees or authorized EPA contractors.

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: CEPO

*Chemical Emergency Preparedness and Prevention Office*

CONTACT POINT:

Name: Dorothy McManus

Location: WSM

Mail Code: 5101

Inclusive Dates: 1987-

Telephone: 202-260-8606

Volume on Hand (Feet): 36 cu. ft.

Office: OSWER

Annual Accumulation: 5 cu. ft.  
(feet or inches)

Room: 3606

CONTROL INFORMATION:

RELATED ITEMS: EPA 203A, EPA 224A, EPA 227R, EPA 266A, EPA 272A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/5/95	3/6/95

EPA SERIES NO. 050A

U.S. EPA RECORDS CONTROL SCHEDULE

**SERIES TITLE:** Comprehensive Environmental Response, Compensation and Liability Information System (CERCLIS)

**PROGRAM:** Superfund

**EPA SERIES NO:** 050A

**NARA SCHEDULE NO.** N1-412-94-3/7

**APPLICABILITY:** Agency-wide

*Sequestered  
by decision of 2/12/2007*

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** CERCLIS supports EPA Headquarters and Regions in the management and oversight of the Superfund program. Its purpose is to maintain an automated inventory of abandoned, inactive, or uncontrolled hazardous waste sites regulated under CERCLA and to act as a vehicle for Regions to report the status of major stages of site cleanup to Headquarters. The system maintains and produces information on all aspects of hazardous waste sites from initial discovery to listing on the National Priorities List (NPL). This includes an inventory of sites, planned and actual site activities, financial information, and audit reports. WASTELAN, a PC LAN version of the CERCLIS system, and related tools (e.g., ISIF, RP2M) are used by Regional offices for data input and local analysis needs. Data is periodically uploaded from WASTELAN to the national data base.

**ARRANGEMENT:** Arranged by CERCLIS ID number.

**TYPE OF RECORDS:**  
Data files, reports, ad hoc queries

**SPECIFIC RESTRICTIONS:**  
Enforcement Sensitive Information

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
Yes

**FUNCTIONS SUPPORTED:**  
Program management and oversight

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended

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DISPOSITION INFORMATION:FINAL DISPOSITION:TRANSFER TO FRC PERMITTED:

- |  |                              |
|--|------------------------------|
| a. Electronic software programs (WASTELAN, CERCLIS, and management reporting tools [e.g., ISIF, RP2M, INSITE, SMARTTEC]): 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 CERCLIS following each major or routine version change. Break WASTELAN and related software tools when superseded by any software updates or version changes.
- b. Break file according to instructions for EPA 171A - Input/Source Records.
- c. Break file at the end of each fiscal year when tapes for the fourth quarter report are sent to NTIS.
- d. File with appropriate case file of related record. Follow file break instructions for related records.
- e. Break file at the end of each major version change of CERCLIS.

DISPOSITION INSTRUCTIONS:

- a. For each major version change of CERCLIS, 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 or version changes to WASTELAN and related software tools or any routine changes to CERCLIS, 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 according to current applicable NARA technical specifications for medium and format annually beginning FY 1996.
- 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 form or magnetic form on new or recertified one-half inch, 9 track tape or cartridge written in ASCII or EBCDIC. Supporting documentation will include the file specifications and record layouts. This documentation would be transferred along with the annual transfer of the electronic data flat file (item c) for the fiscal year in which the major version change occurred.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The data base supports various budget and reporting functions for the Superfund program. The electronic data provides an ongoing history of hazardous waste sites as well as information to State and Federal agencies managing the cleanup of these sites, which requires preservation for its historical and informational value. CERCLIS was identified by the

EPA SERIES NO. 050A

National Academy of Public Administration as a data base NARA would acquire.

**AGENCY-WIDE GUIDANCE:** The CERCLIS system is under the control of the Management and Systems Development Staff (MSDS) of the Office of Policy and Management (OPM) in the Office of Emergency and Remedial Response (OERR). OERR/OPM/MSDS staff is directly responsible for implementing the disposition for the CERCLIS software program (part of item a), the electronic data (item c), and the supporting documentation (item e).

Disposition of input (item b) is the responsibility of the appropriate Regional office responsible for input of information into the PC-based WASTELAN program and the transfer of WASTELAN batch files to the national data base. Superfund Comprehensive Accomplishment Plan (SCAP) input is the responsibility of those offices responsible for SCAP planning. See EPA 006A - Program Management for disposition information for SCAP input records.

Output and reports (item d), filed with related records, are dispositioned according to the instructions for the related records by the office maintaining the records.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:** Since the electronic data on all site activity is being captured for permanent retention every fiscal year, the deletion of data on NFRAP sites will not involve the destruction of permanent record information on these sites.

CUSTODIAL INFORMATION:**CONTROLLING UNIT:**

Name: OERR/OPM/MSDS

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (feet):

Annual Accumulation:  
(feet or inches)**CONTACT POINT:**

Name: Mary Curtis

Mail Code: 5201G

Telephone: 703-603-8882

Office: MSDS

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 006A, EPA 171A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	7/13/95

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DRAFT OF 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

**SERIES TITLE:** Comprehensive Environmental Response, Compensation and Liability Information System (CERCLIS)

**PROGRAM:** Superfund

**EPA SERIES NO:** 050A

**NARA SCHEDULE NO.** Pending

**APPLICABILITY:** Agencywide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** CERCLIS supports EPA Headquarters and Regions in the management and oversight of the Superfund program. Its purpose is to maintain an automated inventory of abandoned, inactive, or uncontrolled hazardous waste sites regulated under CERCLA and to act as a vehicle for Regions to report the status of major stages of site cleanup to Headquarters. The system maintains and produces information on all aspects of hazardous waste sites from initial discovery to listing on the National Priorities List (NPL). This includes an inventory of sites, planned and actual site activities, financial information, and audit reports. WASTELAN, a PC LAN version of the CERCLIS system, and related tools (e.g., ISIF, RF2M) are used by Regional offices for data input and local analysis needs. Data is periodically uploaded from WASTELAN to the national data base.

**ARRANGEMENT:** Arranged by CERCLIS ID number.

**TYPE OF RECORDS:**  
Data files, reports, ad hoc queries

**SPECIFIC RESTRICTIONS:**  
Enforcement Sensitive Information.

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
Yes

**FUNCTIONS SUPPORTED:**  
Program management and oversight

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended

EPA SERIES NO. 050A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

a. Electronic software programs (WASTELAN, CERCLIS, and management reporting tools (e.g., ISIF, RP2M, INSITE, SMARTEC)): 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 CERCLIS following each major or routine version change. Break WASTELAN and related software tools when superseded by any software updates or version changes.

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

c. Break file at the end of each fiscal year when tapes for the fourth quarter report are sent to NTIS.

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

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

DISPOSITION INSTRUCTIONS:

a. For each major version change of CERCLIS, maintain current version on tapes or cartridges for 7 years following procedures required in NDFD'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 or version changes to WASTELAN and related software tools or any routine changes to CERCLIS, 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 to the National Archives along with tape layout, block size, and other tape specifications. *Transfer annually, at the end of each fiscal year, when tapes are submitted to NTIS, BEGINNING IN FY 1996.*

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 form or magnetic 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 annual transfer of the electronic data flat file (item c) for the fiscal year in which the major version change occurred.

*Change MADE per telephone conversation with EPA RECORDED office MIKE MILLER 1/17/95. Steven Russ*

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The data base supports various budget and reporting functions for the Superfund program. The electronic data provides an ongoing history of hazardous waste sites as well as information to State and Federal

EPA SERIES NO. 050A

agencies managing the cleanup of these sites, which requires preservation for its historical and informational value. CERCLIS was identified by the National Academy of Public Administration as a data base NARA would acquire.

**AGENCYWIDE GUIDANCE:** The CERCLIS system is under the control of the Management and Systems Development Staff (MSDS) of the Office of Policy and Management (OPM) in the Office of Emergency and Remedial Response (OERR). OERR/OPM/MSDS staff is directly responsible for implementing the disposition for the CERCLIS software program (part of item a), the electronic data (item c), and the supporting documentation (item e). Disposition of input (item b) is the responsibility of the appropriate Regional office responsible for input of information into the PC-based WASTELAN program and the transfer of WASTELAN batch files to the national data base. Superfund Comprehensive Accomplishment Plan (SCAP) input is the responsibility of those offices responsible for SCAP planning. Output and reports (item d), filed with related records, are dispositioned according to the instructions for the related records by the office maintaining the records.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:** Since the electronic data on all site activity is being captured for permanent retention every fiscal year, the deletion of data on NFRAP sites will not involve the destruction of permanent record information on these sites.

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:**

**Name:** OERR/OPM/MSDS

**Location:** EPA Headquarters

**Inclusive Dates:**

**Volume on Hand (Feet):**

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

**CONTACT POINT:**

**Name:** Mary Curtis

**Mail Code:** 5201G

**Telephone:** 703-603-8882

**Office:** MSDS

**Room:**

CONTROL INFORMATION:

**RELATED ITEMS:** EPA 171A

**PREVIOUSLY APPROVED BY**  
**NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	4/28/93

ITEM  
~~838~~

GRS 6, item 1  
GRS 20, item 3

DRAFT OF 4/28/93

**U.S. EPA RECORDS CONTROL SCHEDULE**

**SERIES TITLE:** Superfund Cost Recovery Image Processing System (SCRIPS)  
**PROGRAM:** Superfund  
**EPA SERIES NO:** 052A  
**NARA SCHEDULE NO.** Pending  
**APPLICABILITY:** Agencywide

*Superfund  
by decision of 2/12/2007*

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** SCRIPS (Superfund Cost Recovery Image Processing System) was formerly known as STARS (Superfund Transaction Automated Retrieval System). Through the use of image processing technology, SCRIPS facilitates the storage and retrieval of all site-specific Superfund cost documentation. Input records include timesheets, travel vouchers, miscellaneous expenditures, contract invoices, IAG payments, and other supporting cost documentation. This application is used to generate the financial documentation for the cost recovery package.

SCRIPS captures financial documentation images at Regional and field sites (i.e., Washington, Cincinnati, RTP) throughout the country. Initially, all those images were stored centrally at EPA's National Computer Center (NCC) data processing facility. In the near future, the system will be completely decentralized into each of the Regions.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Data files, reports, image files

**SPECIFIC RESTRICTIONS:**  
Confidential Business Information  
Privacy Act

**MEDIUM:**  
Electronic, optical, paper

**VITAL RECORD:**  
Yes

**FUNCTIONS SUPPORTED:**  
Program operations

**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

EPA SERIES NO. 052A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. SCRIPS electronic software programs: Disposable

b. Input

c. Electronic data: Disposable

d. Output and reports

a. Supporting documentation: Disposable

TRANSFER TO FRC PERMITTED:

No

Dependent on related records

No

Dependent on related records

Yes

FILE BREAK INSTRUCTIONS:

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

b. Break file according to instructions for related records.

c. Break file when information on whole optical disk is superseded and no longer necessary for the generation of cost recovery packages.

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

e. Break file when each major version is discontinued.

DISPOSITION INSTRUCTIONS:

a. When each major version of SCRIPS is discontinued, maintain current version on tapes or cartridges for 3 years following procedures required in NDPD's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 years, the tapes are to be destroyed by degaussing. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Follow disposition instructions for related records.

c. Hold optical disk containing electronic data 1 year after file break, then destroy or recycle disks and related indexes.

d. Follow disposition instructions for related records.

e. Keep in office at least one year after file break, then retire to FRC in paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: SCRIPS is an application used to prepare cost recovery packages used for litigation and cost recovery. The input and output are retained in paper format and maintained for the necessary time periods.

AGENCYWIDE GUIDANCE: SCRIPS is under the control of the Superfund Accounting Branch (SAB) of the Financial Management Division (FMD) in the Office of the Comptroller (OC) under the Office of Administration and Resource Management (OARM). OARM/OC/FMD/SAB staff assigned as system manager for SCRIPS is directly responsible for implementing the disposition of items a, c, and e. All related input records (item b) are filed with related records and are to

EPA SERIES NO. 052A

be dispositioned according to the instructions for the related records by the offices maintaining these records. Related input records include:

- EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 020A - Contract Management Records - Superfund Site Specific
- EPA 024A - Cost Recovery Records
- EPA 258A - Final Deliverables from Contractor Studies and Services

Output records (item d) are filed with related records and are dispositioned according to the instructions for the related records by the office maintaining the records. The official copy of all financial documentation output included in the cost recovery package is filed in EPA 024A - Cost Recovery Records under the custodianship of Waste Management Cost Recovery program offices who are responsible for maintenance of this output report. Financial documentation outputs include Project/Site History Reports and Annual Allocation Reports. Copies of these reports held in the following series are to be dispositioned according to the instructions for those records:

- EPA 013A - Removal Site Files - Superfund Site Specific
- EPA 014A - Remedial Site Files - Superfund Site Specific
- EPA 025A - Enforcement Actions - Superfund Site Specific

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: OARM/OC/FMD/SAB

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)

CONTACT POINT:

Name: Charles Young

Mail Code: PM-226F

Telephone: 202-260-6890

Office: SAB

Room: 607

CONTROL INFORMATION:

RELATED ITEMS: EPA 001A, EPA 013A, EPA 014A, EPA 020A, EPA 024A, EPA 025A, EPA 171A, EPA 258A, EPA 304A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	4/28/93

ITEM  
~~85~~ 10

DRAFT OF 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

**SERIES TITLE:** Emergency Response Notification System (ERNS)  
**PROGRAM:** Superfund  
**EPA SERIES NO:** 060A  
**NARA SCHEDULE NO.** Pending  
**APPLICABILITY:** Agencywide

*Superseded  
by revision of 2/12/2007*

IDENTIFYING INFORMATION:

**DESCRIPTION:** The Emergency Response Notification System (ERNS) is a national computer data base used to store information on releases of oil and hazardous substances. The ERNS program is a cooperative effort among EPA Headquarters, the Department of Transportation (DOT), National Transportation Systems Center (NTSC), the ten EPA Regions, the U.S. Coast Guard (USCG), and the National Response Center (NRC). ERNS provides the most comprehensive data compiled on release notifications of oil and hazardous substances in the United States. When a release report is submitted to Federal authorities (e.g., NRC or Regional offices), the individual reporting is asked a series of questions regarding the release (e.g., type, location, volume). Information concerning all releases originally reported to the NRC or EPA Regional offices is entered into local computers and transmitted electronically from the NRC or EPA Regional office to the NTSC, where it becomes part of the ERNS national data base. Each EPA Region maintains its own Region-specific data base, which is a subset of the national data base. ERNS supports the Emergency Response and the Title III program.

**ARRANGEMENT:** Arrangement varies, electronic data arranged by ERNS number.

**TYPE OF RECORDS:**  
Reports, forms, fact sheets,  
printouts, data files

**SPECIFIC RESTRICTIONS:**  
Privacy Act

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Section 103  
Title III - Emergency Planning and Community Right-to-Know, Section 304  
Clean Water Act, as amended, Sections 311  
Hazardous Materials Transportation Act, Section 1808(b)  
National Oil and Hazardous Substances Contingency Plan, Sections 100.51 and  
300.65

EPA SERIES NO. 060A

DISPOSITION INFORMATION:FINAL DISPOSITION:

a. ERNS electronic software programs: Disposable

b. Input

c. Electronic data: Disposable

d. Output and reports

e. Supporting documentation: Disposable

TRANSFER TO FRC PERMITTED:

No

Dependent on related records

No

Dependent on related records

Yes

FILE BREAK INSTRUCTIONS:

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

b. Break file when information has been entered into the system or when Regional input data base has been electronically transferred into the national data base and quality assurance of all (paper and electronic) data has been determined. Paper input should be broken according to the instructions for EPA 091A - CERCLA 103 Notifications.

c. Break data file at the end of the fiscal year.

d. Break output systems when data has been transferred to national data base. File ad hoc reports with appropriate case file or related records. Follow file break instructions for related records.

e. Break file when each major version is discontinued.

DISPOSITION INSTRUCTIONS:

a. When each major version of ERNS is discontinued, maintain current version on tapes or cartridges for 3 years following procedures required in NDPD's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 years, the tapes are to be destroyed by degaussing. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Hold paper input and disposition according to the instructions for EPA 091A - CERCLA 103 Notifications. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later.

c. Transfer current data sets to NDPD tapes, along with tape layout, block size, and other tape specifications, according to NDPD policies. Current data sets include a consolidation of all ERNS initial input data captured in the monthly backups performed by Regional central computer centers along with the input received from NRC. Instruct NDPD to hold tapes for 30 years, then destroy data through degaussing.

d. Delete update output systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later. Disposition ad hoc output reports according to instructions for related records.

e. Keep in office at least 1 year after file break, then retire to FRC on paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation

**EPA SERIES NO. 060A**

can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** ERNS tracks initially invalidated data, at a high level. It is used primarily as a preliminary tool to identify potentially hazardous situations and serves as a mechanism to document and verify incident-location information. Initial input by Regional offices is needed for litigation support.

**AGENCYWIDE GUIDANCE:** ERNS is under the control of the Emergency Response Division (ERD) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/ERD staff is directly responsible for implementing the disposition according to items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091A - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems according to the instructions in items b and d.

Output systems containing initial data being transferred from the EPA Regional offices to the NRC are not covered by item d of this series. This initial electronic data is captured by each Regional computer center as part of their routine monthly backups. At the end of each fiscal year, the ERNS data files from each monthly backup are to be consolidated and transferred to NDPD tapes and dispositioned according to item c. This process is necessary to capture the initial input of data which may be necessary for verification of the time and date of the initial notification.

Ad hoc output reports held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175A - Print Files.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:****CUSTODIAL INFORMATION:****CONTROLLING UNIT:**

Name: OSWER/OERR/ERD

Location: EPA Headquarters

Inclusive Dates: 1988 to present

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)**CONTACT POINT:**

Name: Dana Stalcup

Mail Code: 5202G

Telephone: 703-603-8735

Office: ERD

Room:

**CONTROL INFORMATION:****RELATED ITEMS:** EPA 056A, EPA 061A, EPA 091A, EPA 175A**PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:**

EPA SERIES NO. 060A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/30/92	4/28/93

## EPA SERIES NO. 061A

## U.S. EPA RECORDS CONTROL SCHEDULE

**SERIES TITLE:** Continuous Release Emergency Response Notification System  
(CR-ERNS)

**PROGRAM:** Superfund

**EPA SERIES NO:** 061A

**NARA SCHEDULE NO.** N1-412-94-3/11  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** CR-ERNS is an information system that serves as the central depository for all continuous release information received by the EPA Regions. The national data base is housed at the Transportation Systems Center (TSC) in Cambridge, Massachusetts. CR-ERNS is currently installed in all ten EPA Regions. The system is specifically designed to help EPA Regional personnel manage continuous release information and establish priorities with respect to the review and evaluation of continuous release reports. The kinds of information collected include the source of the continuous release, the environmental medium affected, certain ecological and population density information, and a brief statement describing the basis for asserting that the release is continuous and stable in quantity and rate.

A key feature contained in each Regional system is a screening level risk assessment model, called the Priority Assessment Model (PAM). PAM assists Regional personnel in the evaluation of the long-term (i.e., chronic) threat posed by a continuous release. CR-ERNS supports the Emergency Response Program.

**ARRANGEMENT:** Arranged by facility unique identification case number.

**TYPE OF RECORDS:**  
Reports, forms, data files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Section 103(f)(2)  
40 CFR 302.8

**EPA SERIES NO. 061A**

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

a. CERENS electronic software program	Disposable	<b>TRANSFER TO FRC PERMITTED:</b>	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 software programs when each major version is discontinued and/or when superseded by routine software updates.
- b. Break file when information has been entered into the system or when Regional input data base has been electronically transferred into the national data base and quality assurance of all (paper and electronic) data has been determined. Paper input should be broken according to the instructions for EPA 091A - CERCLA 103 Notifications.
- c. Break data file at the end of the fiscal year.
- d. Break output systems when data has been transferred into the national data base. File ad hoc reports with appropriate case file or related records. Follow file break instructions for related records.
- e. Break file when each major version is discontinued.

**DISPOSITION INSTRUCTIONS:**

- a. When each major version of CR-ERNS is discontinued, maintain current version on tapes or cartridges for 3 years following procedures required in NDPD's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 years, the tapes are to be destroyed by degaussing. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.
- b. Hold paper input and disposition according to the instructions for EPA 091A - CERCLA 103 Notifications. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later.
- c. Transfer, in FY 1996, ASCII or EBCDIC flat file of data on new or recertified one-half inch, 9 track tape or cartridge, along with tape layout, block size, and other tape specifications, to the National Archives. Thereafter, transfer each major version change the year when the version is superseded or discontinued.
- d. Delete output systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later. Disposition ad hoc output reports according to instructions for related records.
- e. Transfer to the National Archives, in FY 1996, in either paper or magnetic form on new or recertified one-half inch, 9 track tape or cartridge written in ASCII or EBCDIC, those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications.

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## EPA SERIES NO. 061A

Subsequent transfer of documentation will occur with the transfer of the electronic data flat file (item c) the year when the version is superseded or discontinued.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Records must be kept to support litigation and regulatory activities. Hard copies of input records must be kept for the narrative element as well as certification purposes.

**AGENCY-WIDE GUIDANCE:** CR-ERNS is under the control of the Response Standards and Criteria Branch (RSCB) of the Emergency Response Division (ERD) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/ERD staff is directly responsible for implementing the disposition according to series items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091A - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems according to the instructions in items b and d. All ad hoc output records held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175A - Print Files.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**CUSTODIAL INFORMATION:**CONTROLLING UNIT:**

Name: OSWER/OERR/ERD/RSCB

Location: EPA Headquarters

Inclusive Dates: 1990 to present

Volume on Hand (feet):

Annual Accumulation:  
(feet or inches)**CONTACT POINT:**

Name: Geri Perry

Mail Code: 502G

Telephone: 703 603-8732

Office: RSCB

Room:

CONTROL INFORMATION:**RELATED ITEMS:** EPA 056A, EPA 060A, EPA 091A, EPA 171A, EPA 175A**PREVIOUSLY APPROVED BY****NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/30/92	4/25/95

ITEM  
86 11

DRAFT OF 4/28/93

**U.S. EPA RECORDS CONTROL SCHEDULE**

**SERIES TITLE:** Continuous Release Emergency Response Notification System  
(CR-ERNS)

**PROGRAM:** Superfund

**EPA SERIES NO:** 061A

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

**APPLICABILITY:** Agencywide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** CR-ERNS is an information system that serves as the central depository for all continuous release information received by the EPA Regions. The national data base is housed at the Transportation Systems Center (TSC) in Cambridge, Massachusetts. CR-ERNS is currently installed in all ten EPA Regions. The system is specifically designed to help EPA Regional personnel manage continuous release information and establish priorities with respect to the review and evaluation of continuous release reports. The kinds of information collected include the source of the continuous release, the environmental medium affected, certain ecological and population density information, and a brief statement describing the basis for asserting that the release is continuous and stable in quantity and rate.

A key feature contained in each Regional system is a screening level risk assessment model, called the Priority Assessment Model (PAM). PAM assists Regional personnel in the evaluation of the long-term (i.e., chronic) threat posed by a continuous release. CR-ERNS supports the Emergency Response Program.

**ARRANGEMENT:** Arranged by facility unique identification case number.

**TYPE OF RECORDS:**  
Reports, forms, data files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Section 103(f)(2)  
40 CFR 302.8

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DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. CR-ERNS electronic software program: Disposable

TRANSFER TO FRC PERMITTED:

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

b. Break file when information has been entered into the system or when Regional input data base has been electronically transferred into the national data base and quality assurance of all (paper and electronic) data has been determined. Paper input should be broken according to the instructions for EPA 091A - CERCLA 103 Notifications.

c. Break data file at the end of the fiscal year.

d. Break output systems when data has been transferred into the national data base. File ad hoc reports with appropriate case file or related records. Follow file break instructions for related records.

e. Break file when each major version is discontinued.

DISPOSITION INSTRUCTIONS:

a. When each major version of CR-ERNS is discontinued, maintain current version on tapes or cartridges for 3 years following procedures required in NNDP's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 years, the tapes are to be destroyed by degaussing. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Hold paper input and disposition according to the instructions for EPA 091A - CERCLA 103 Notifications. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later.

c. Transfer current data sets to NNDP tapes, along with tape layout, block size, and other tape specifications, according to NNDP policies. Instruct NNDP to hold tapes for 30 years, then destroy data through degaussing.

d. Delete output systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later. Disposition ad hoc output reports according to instructions for related records.

e. Keep in office at least 1 year after file break, then retire to FRC on paper form or on magnetic floppy disk those records necessary to document the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

EPA SERIES NO. 061A

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Records must be kept to support litigation and regulatory activities. Hard copies of input records must be kept for the narrative element as well as certification purposes.

**AGENCYWIDE GUIDANCE:** CR-ERNS is under the control of the Response Standards and Criteria Branch (RSCB) of the Emergency Response Division (ERD) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/ERD staff is directly responsible for implementing the disposition according to series items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091A - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems according to the instructions in items b and d. All ad hoc output records held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175A - Print Files.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**

CUSTODIAL INFORMATION:

**CONTROLLING UNIT:**

Name: OSWER/OERR/ERD/RSCB

Location: EPA Headquarters

Inclusive Dates: 1990 to present

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)

**CONTACT POINT:**

Name: Gerain Perry

Mail Code: 5202G

Telephone: 703-603-8732

Office: RSCB

Room:

CONTROL INFORMATION:

**RELATED ITEMS:** EPA 056A, EPA 060A, EPA 091A, EPA 171A, EPA 175A

**PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/30/92	4/28/93

EPA SERIES NO. 064A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CLP Analytical Results Data Base (CARD)

PROGRAM: Superfund

EPA SERIES NO: 064A

NARA SCHEDULE NO. N1-412-94-3/12  
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

*Superseded  
by version of 2/12/2007*

IDENTIFYING INFORMATION:

DESCRIPTION: CARD tracks and monitors Contract Laboratory Program (CLP) analytical services as reported by CLP laboratories. The system provides inspections of deliverables from laboratory contractors (contract compliance screening - CCS), supports methods and QA requirements development, and serves as a comprehensive data base of results (e.g., QA/QC result studies). It also includes analytical analyses such as identification and concentration values for each hazardous substance found in each sample taken at Superfund sites, pertinent physical descriptions such as sample matrix and weight or volume, and trend analysis for methods development and refinement. Currently, the data base is being expanded to include similar information from new services such as Low Concentration Organic and Inorganic and Quick Turnaround Method (QTM) analyses. In the future, CARD will incorporate additional information which may include data review qualifiers, site-specific information, sampling information, geographic sample locators and Special Analytical Services (SAS) data.

ARRANGEMENT: Arranged by Case or Sample Delivery Group (SDG) number.

TYPE OF RECORDS:  
Data files, reports, forms

SPECIFIC RESTRICTIONS:  
None

MEDIUM:  
Electronic, paper

VITAL RECORD:  
No

FUNCTIONS SUPPORTED:  
Program operations

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended

**EPA SERIES NO. 064A****DISPOSITION INFORMATION:****FINAL DISPOSITION:**

- a. CARD electronic software program: Disposable
- b. Input
- c. Electronic data: Permanent
- d. Output and reports
- e. Supporting documentation: Permanent

**TRANSFER TO FRC PERMITTED:**

- No
- Dependent on related records
- No
- Dependent on related records
- No

**FILE BREAK INSTRUCTIONS:**

- a. Break CARD when each major version is discontinued and/or when superseded by routine software updates.
- b. Break file according to instructions for the related records. Break input systems according to instructions for EPA 171A - Input/Source Records.
- c. Break file at the end of each major version change of CARD.
- d. File with appropriate case file or related records. Follow file break instructions for related records.
- e. Break file at the end of each major version change of CARD.

**DISPOSITION INSTRUCTIONS:**

- a. For each major version change of CARD, 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 related records. For input systems, follow disposition instructions for EPA 171A - Input/Source Records.
- c. Transfer, in FY 1996, ASCII or EBCDIC flat file or data on new or recertified one-half inch, 9 track tape or cartridge to the National Archives along with tape layout, block size, and other tape specifications. Thereafter, transfer to the National Archives each major version change of CARD the year when the version is superseded or discontinued.
- d. Follow disposition instructions for related records.
- e. Transfer, in 1996, those records necessary to document how the system captures, manipulates, and outputs data to the National Archives in either paper or magnetic 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. Subsequent transfer of documentation will occur with the transfer of the electronic data flat file (item c) the year when the version is superseded or discontinued.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** CARD is EPA's major vehicle for obtaining chemical analyses from Superfund sites as well as providing oversight of CLP laboratories by Regional and Headquarters personnel. The analytical data contained in CARD was previously scheduled as part of NC1-412-85-18/23. The

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disposition of the data, as held in the paper input, paper output, and electronic data, is unchanged. CARD also holds contract monitoring data, previously included as part of NCI-412-85-27/III/6, which is used for Superfund cost recovery..

**AGENCY-WIDE GUIDANCE:** CARD is under the control of the Analytical Operations Branch (AOB) of the Hazardous Site Evaluation Division (HSED) of the Office of Emergency and Remedial Response (OERR). OERR/HSED/AOB staff is directly responsible for implementing the disposition according to series items a, c, and e.

Analytical data input, under item b, and output, under item d, are contained in the related record series EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific. Analytical data input includes contract deliverables of the sampling data. All are permanent records.

Contract management data input, under item b, and output, under item d, are contained in the related record series EPA 024A - Cost Recovery Records or EPA 020A - Contract Management Records - Superfund Site Specific, which have a 30-year retention value following the file break.

Ad hoc reports and routine printouts (not part of EPA 018A, EPA 024A, or EPA 020A) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175A - Print File.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:** CARD incorporates data formerly held in Contract Laboratory Program Quality Assurance (CLPQA).

**CUSTODIAL INFORMATION:****CONTROLLING UNIT:**

Name: OERR/HSED/AOB

Location: EPA Headquarters

Inclusive Dates: 1988 to present

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)**CONTACT POINT:**

Name: David S. Eng

Mail Code: 504G

Telephone: 703-703-8827

Office: AOB

Room:

**CONTROL INFORMATION:**

**RELATED ITEMS:** EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 065A, EPA 067A, EPA 171A, EPA 175A

**PREVIOUSLY APPROVED BY**  
**NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	4/25/95

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DRAFT OF 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CLP Analytical Results Data Base (CARD)

PROGRAM: Superfund

EPA SERIES NO: 064A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: CARD tracks and monitors Contract Laboratory Program (CLP) analytical services as reported by CLP laboratories. The system provides inspections of deliverables from laboratory contractors (contract compliance screening - CCS), supports methods and QA requirements development, and serves as a comprehensive data base of results (e.g., QA/QC result studies). It also includes analytical analyses such as identification and concentration values for each hazardous substance found in each sample taken at Superfund sites, pertinent physical descriptions such as sample matrix and weight or volume, and trend analysis for methods development and refinement. Currently, the data base is being expanded to include similar information from new services such as Low Concentration Organic and Inorganic and Quick Turnaround Method (QTM) analyses. In the future, CARD will incorporate additional information which may include data review qualifiers, site-specific information, sampling information, geographic sample locators and Special Analytical Services (SAS) data.

ARRANGEMENT: Arranged by Case or Sample Delivery Group (SDG) number.

TYPE OF RECORDS:  
Data files, reports, forms

SPECIFIC RESTRICTIONS:  
None

MEDIUM:  
Electronic, paper

VITAL RECORD:  
No

FUNCTIONS SUPPORTED:  
Program operations

SPECIFIC LEGAL REQUIREMENTS:  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended

EPA SERIES NO. 064A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. CARD electronic software programs: Disposable

b. Input

c. Electronic data: Permanent

d. Output and reports

e. Supporting documentation: Permanent

TRANSFER TO FRC PERMITTED:

No

Dependent on related records

No

Dependent on related records

No

FILE BREAK INSTRUCTIONS:

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

b. Breakfile according to instructions for the related records. Break input systems according to instructions for EPA 171A - Input/Source Records.

c. Break file at the end of each major version change of CARD.

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

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

DISPOSITION INSTRUCTIONS:

a. For each major version change of CARD, maintain current version on tapes or cartridges for 7 years following procedures required in NNDP'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 related records. For input systems, 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 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 magnetic 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) for the fiscal year in which the major version change occurred.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: CARD is EPA's major vehicle for obtaining chemical analyses from Superfund sites as well as providing oversight of CLP laboratories by Regional and Headquarters personnel. The analytical data contained in CARD was previously scheduled as part of NC1-412-85-18/23. The disposition of the data, as held in the paper input, paper output, and electronic data, is unchanged. CARD also holds contract monitoring data.

**EPA SERIES NO. 064A**

previously included as part of NC1-412-85-27/III/6, which is used for Superfund cost recovery.

**AGENCYWIDE GUIDANCE:** CARD is under the control of the Analytical Operations Branch (AOB) of the Hazardous Site Evaluation Division (HSED) of the Office of Emergency and Remedial Response (OERR). OERR/HSED/AOB staff is directly responsible for implementing the disposition according to series items a, c, and e.

Analytical data input, under item b, and output, under item d, are contained in the related record series EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific. Analytical data input includes contract deliverables of the sampling data. All are permanent records.

Contract management data input, under item b, and output, under item d, are contained in the related record series EPA 024A - Cost Recovery Records or EPA 020A - Contract Management Records - Superfund Site Specific, which have a 30-year retention value following the file break.

Ad hoc reports and routine printouts (not part of EPA 018A, EPA 024A, or EPA 020A) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175A - Print Files.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:** CARD incorporates data formerly held in Contract Laboratory Program Quality Assurance (CLPQA).

**CUSTODIAL INFORMATION:**

**CONTROLLING UNIT:**

Name: OERR/HSED/AOB

Location: EPA Headquarters

Inclusive Dates: 1988 to present

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches).

**CONTACT POINT:**

Name: David S. Eng

Mail Code: 5204G .

Telephone: 703-603-8827

Office: AOB

Room:

**CONTROL INFORMATION:**

**RELATED ITEMS:** EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 065A, EPA 067A, EPA 171A, EPA 175A

**PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	List Modified
		5/14/92	4/28/93

1 TFM  
~~88~~ 13  
GRS 28, Item 8

DRAFT OF 4/28/93

**U.S. EPA RECORDS CONTROL SCHEDULE**

**SERIES TITLE:** Sample Tracking and Invoice Payment System (TIP)

**PROGRAM:** Superfund

**EPA SERIES NO:** 065A

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

**APPLICABILITY:** Agencywide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** The Sample Tracking and Invoice Payment system (TIP) tracks samples ordered for analysis by Contract Laboratory Program (CLP) laboratories. Tracking includes the initial order by Regional sample control coordinators, shipment by sampling teams, receipt by laboratories and submission of results by EPA. Following receipt of the results, the system records and supports payment recommendations on individual invoices. The Hazardous Site Evaluation Division (HSED) receives summary reports of TIP's activities.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Reports, data files, tracking data

**SPECIFIC RESTRICTIONS:**  
Confidential Business Information  
Enforcement Sensitive Information

**MEDIUM:**  
Electronic, paper

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended.

EPA SERIES NO. 065A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

- a. TIP electronic software programs: Disposable
- b. Input
- c. Electronic data: Disposable
- d. Output and reports
- e. Supporting documentation: Disposable

TRANSFER TO FRC PERMITTED:

- No
- Dependent on related records
- No
- Dependent on related records
- Yes

FILE BREAK INSTRUCTIONS:

- a. Break TIP when each major version is discontinued and/or when superseded by routine software updates.
- b. Break file according to instructions for related records. Break input systems according to instructions for EPA 171A - Input/Source Records.
- c. Break file at the end of each major version change of TIP.
- d. File with appropriate case file or related records. Follow file break instructions for related records.
- e. Break file at end of each major version change of TIP.

DISPOSITION INSTRUCTIONS:

- a. For each major version change of TIP, maintain current version on tapes or cartridges for 3 years following procedures required in NNDP's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 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 related records. For input systems, follow disposition instructions for EPA 171A - Input/Source Records.
- c. Transfer current data sets to NNDP tapes, along with tape layout, block size, and other tape specifications, according to NNDP policies. Instruct NNDP to hold tapes for 30 years, then destroy data through degaussing.
- d. Follow disposition instructions for related records.
- e. Keep in office at least 1 year after file break; then retire to FRC in paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

*30 Shelter per e-mail from Marguerite Hall 5/1/95*

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: TIP data is used for cost recovery support, audit purposes, and for support of site remediation work assignments. This data was previously included as part of NC1-412-85-27/III/6 which is used for Superfund cost recovery.

AGENCYWIDE GUIDANCE: TIP is under the control of the Analytical Operations Branch (AOB) in the Hazardous Site Evaluation Division (HSED) of the Office of Emergency and Remedial Response (OERR). OERR/HSED/AOB staff is directly responsible for implementing the disposition of items a, c, and e.

## EPA SERIES NO. 065A

Contract management data input, under item b, and output, under item d are officially contained in the related record series EPA 024A - Cost Recovery Records or EPA 020A - Contract Management Records - Superfund Site Specific, which have a 30-year retention value following the file break. Copies of invoices, traffic reports, and sample summaries may be included in EPA 013A - Removal Site Files - Superfund Site Specific and EPA 014A - Remedial Site Files - Superfund Site Specific and would be dispositioned according to the instructions for those records series.

Ad hoc reports and routine printouts (not part of EPA 020A, EPA 024A, or EPA 018A) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175A - Print Files.

## PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

## CONTROLLING UNIT:

Name: OERR/HSED/AOB

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:  
(feet or inches)

## CONTACT POINT:

Name: David S. Eng

Mail Code: 5204G

Telephone: 703-603-8827

Office: AOB

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 064A, EPA 067A

## PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NCI-412-85-27/III/6

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	4/28/93