

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

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

1. FROM (Agency or establishment)

2. MAJOR SUBDIVISION

Various

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE

Michael L. Miller, Rec. Off. | 202-260-5911

LEAVE BLANK (NARA use only)

JOB NUMBER

NI-412-94-4

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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

10-16-91

ARCHIVIST OF THE UNITED STATES

*John W. Paul*

## 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

Schedule submission includes items covering ~~Agency-wide, Headquarters-wide, Regional, and Superfund and RCRA records.~~

Superseded job citations listed on individual items.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NAR USE ONLY)

DRAFT OF 2/10/97

U.S. EPA RECORDS CONTROL SCHEDULE

1) **SERIES TITLE:** Site Assessment

**PROGRAM:** Superfund

**EPA SERIES NO:** 010R

**NARA SCHEDULE NO.** N1-412-94-4/1  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Includes site-specific records related to sites which were investigated for listing on the National Priorities List (NPL). Specific types of documents include Site Discovery, Preliminary Assessment (PA), Site Investigation (SI) and Hazard Ranking System (HRS) package (e.g., facility worksheet scored by the Region/State, site summary documents which describe the site conditions or problems), comments, supporting documentation deletion packages, and documentation which verifies that records supporting site scores exist in State or Regional files. Records consist of the following categories:

- a. No Further Remedial Action Planned Sites (NFRAPs),
- b. Sites placed on the NPL,
- c. Sites warranting a removal action, and
- d. Sites not yet assigned to the NPL or NFRAP.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Paper, video/film, photographs,  
publications, maps, and  
architectural materials, forms

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Section 105, 42 USCA 9605  
40 CFR 300

EPA SERIES NO. 010R

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
~~Permanent~~ *Dispasable*

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file upon remediation determination.

DISPOSITION INSTRUCTIONS:

- a. Keep in office at least 1 year after file break, then retire to FRC.  
~~Transfer to NARA 30 years after file break~~ *Destroy when 40 years old.*
- b. File becomes part of remedial site file. See EPA 014A.
- c. File becomes part of removal site file. See EPA 013A.
- d. File remains in site assessment series until remediation determination.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records are important historical documentation of potential and actual Superfund sites. Although some of the sites are not selected for inclusion on the NPL at this time, the records in this series contain information on the nature of the site, the dangers it poses, and the status of the investigation. For this reason, they may be needed for remediation activities in the future. These records are also necessary to protect the rights of those involved in the transfer or sale of the land or property involved. Records for sites that are placed on the NPL become part of the remedial site file which is also a permanent record.

AGENCY-WIDE GUIDANCE: Site assessment records for sites placed on the NPL become part of the remedial site file and should be transferred to the office or unit responsible for that series - See EPA 014A. Records for removal actions should be transferred to the office or unit responsible for that series - See EPA 013A. Records not yet determined to be NPL or NFRAP should remain in the site assessment series. Reference copies of these files held by all other offices can be destroyed when no longer needed to support current activities.

Federal Facilities Hazardous Waste Sites are scheduled as EPA 012A. Other Superfund site specific items are: Sampling and Analytical Data Files - EPA 018A, Administrative Records - EPA 019R, Contract Management Records - EPA 020A, and Enforcement Records - EPA 025A. See EPA 024A for Cost Recovery Records.

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 witnessed 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:

EPA SERIES NO. 010R

Annual Accumulation:  
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 012A, EPA 013A, EPA 014A, EPA 018A, EPA 019R, EPA 020A,  
EPA 025A

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS: NC1-412-85-18/23

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/26/91	2/10/97

DRAFT OF 3/29/96

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

2) **SERIES TITLE:** Administrative Records - Superfund Site-Specific

**PROGRAM:** Superfund

**EPA SERIES NO:** 019R

**NARA SCHEDULE NO.** N1-412-94-4/2  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** The Administrative Record (AR) is a subset of the remedial and removal site file compiled and made available to the public as the basis for selected Superfund response actions. Specific types of records include Action Memoranda, Administrative Orders, Consent Orders, Applicable or Relevant and Appropriate Requirements (ARARs), the Preliminary Assessment/Site Inspection, the Remedial Investigation/Feasibility Study, Community Relations Plans, correspondence, fact sheets, news clippings, work plans, Natural Resource Trustee information, site reports, the proposed and approved remedial action, POLREPs, Potentially Responsible Party (PRP) letters, the Record of Decision (ROD), technical assistance documentation, technical issue papers, public meeting transcripts, public comments on the development of the Administrative Record, and an index to the record.

**ARRANGEMENT:** Arranged by site.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Microform, paper, forms,  
sampling cards, photograph,  
maps and architectural materials

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,  
as amended, Sections 113 and 117, 42 USCA 9613 and 9617  
40 CFR 300

EPA SERIES NO. 019R

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

a. Paper (non-microformed) or  
microform: ~~Permanent~~ *Disposable*

**TRANSFER TO FRC PERMITTED:**

Yes

b. Paper (microformed) ;  
Disposable

No

**FILE BREAK INSTRUCTIONS:**

a. Remedial records: Break file upon issuance of Record of Decision (ROD) for the site or operable unit and appropriate milestones thereafter.

Removal records: Break file upon issuance of the Action Memo or appropriate decision document.

b. Break file upon completion of microfilming.

**DISPOSITION INSTRUCTIONS:**

a. Keep in office at least 1 year after file break, then retire to FRC.

~~Transfer to the National Archives 20 years after file break.~~  
*Destroy when 30 years old.*

b. Destroy paper upon completion of quality assurance. Keep microform in office at least 1 year after issuance of ROD, then retire to FRC. Transfer to the National Archives 20 years after file break.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** The Administrative Record, as required by CERCLA, serves two primary purposes. First, the record contains those documents which form the basis for selection of a response action and any judicial review of any issue concerning the adequacy of any response action is limited to the record. Second, the record acts as a vehicle for public participation in selecting a response action. This item was previously scheduled as part of NC1-41-85-18/23.

**AGENCY-WIDE GUIDANCE:** The designated Regional Superfund Administrative Record Coordinator is responsible for maintaining and implementing the disposition for the record copy of this item. Records may need to be kept longer if ongoing or possible litigation or public interest warrants, as determined by the AR Coordinator. Repository copies should be disposed of upon authority of the AR Coordinator. All other copies held in any other office are reference copies and may be destroyed when no longer needed.

Documents referenced in the AR but not physically located in it (e.g., guidance documents located in a guidance compendium) need to have the same retention as the AR. Otherwise, the document must be included in the AR. Guidance documents may already be scheduled as EPA 007A - Directives and Policy Guidance Documents Issued by Specific Programs and Regions, EPA 108A - EPA Agencywide Directives, EPA 149A - Regulations, Standards, and Guidelines, or EPA 150A - Rulemaking Dockets.

The AR is a subset of the removal or remedial site files, scheduled as EPA 013A and EPA 014A, respectively. Other related Superfund site records include the following:

- EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 009A - National Contingency Plan/National Priorities List Docket (Supporting Documentation Files)
- EPA 010A - Site Assessment
- EPA 012A - Federal Facilities Hazardous Waste Sites
- EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
- EPA 020A - Contract Management Records - Superfund Site Specific

**EPA SERIES NO. 019R**

EPA 024A - Cost Recovery Records  
EPA 025A - Enforcement Actions - Superfund Site Specific

Additional guidance on the contents and procedures for the AR are found in OSWER Directive No. 9833.3A-1, Final Guidance on Administrative Records for Selecting CERCLA Response Actions.

Microfilm copies are to be produced in accordance with standards in 36 CFR 1230.10 and 1230.20. It is recommended that the unit retain a silver set as well as diazo sets which will simplify making copies. If records are not filmed, apply disposition a to the paper records.

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 witnessed disposal for records destroyed by contractors.

**PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:**

**CUSTODIAL INFORMATION:**

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

<b>Name:</b>	<b>Name:</b>
<b>Location:</b>	<b>Mail Code:</b>
<b>Inclusive Dates:</b>	<b>Telephone:</b>
<b>Volume on Hand (Feet):</b>	<b>Office:</b>
<b>Annual Accumulation: (feet or inches)</b>	<b>Room:</b>

**CONTROL INFORMATION:**

**RELATED ITEMS:** EPA 001A, EPA 007A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 025A, EPA 108H, EPA 149A, EPA 150A

**PREVIOUSLY APPROVED BY**  
**NARA SCHEDULE NOS:** NC1-412-85-18/23

<b>Approval</b>	<b>Approval</b>	<b>Entry</b>	<b>Last</b>
<b>Date EPA</b>	<b>Date NARA</b>	<b>Date</b>	<b>Modified</b>
		3/27/91	3/29/96

DRAFT OF 10/18/95

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

3) **SERIES TITLE:** Program Development Files of the Regional Offices

**PROGRAM:** All Programs

**EPA SERIES NO:** 126R

**NARA SCHEDULE NO.** N1-412-94-4/3  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains information related to the development of Regional environmental programs and policies. Records consist of reports on Regional environmental projects, surveys, briefing books, special studies, position papers, legislation, unpublished directives and policy guidance documents, enforcement actions, and other program documents related to water, air, pesticide, toxic, and hazardous materials, enforcement, and environmental services programs. Records are used by Regional Administrators, Division Directors, and Branch and Section Chiefs in policy evaluation and program planning.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Subject files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper, electronic

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program development

**SPECIFIC LEGAL REQUIREMENTS:**  
None



EPA SERIES NO. 126R

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Permanent

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file annually; bring forward active materials.

DISPOSITION INSTRUCTIONS: Keep inactive files in office up to 3 years after file break, then retire to FRC. Transfer to National Archives when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This series is meant to capture many of the basic policy development records in the Region and constitutes the basic documentation of Regional office activities.

AGENCY-WIDE GUIDANCE: This item covers the program development subject files which are generally held by officials holding the following offices: Regional Administrators, Division Directors, Branch and Section Chiefs. These records may not be maintained as a discrete file in all Regions. If not, then records that fit the description and background and support materials held in offices other than those named above should be pulled together when they become inactive and retired as a unit.

See EPA 143H for Program Development Files with Headquarters applicability. Management Studies are scheduled as EPA 105A and Organization Plans as EPA 106H. Records that document the ongoing management of programs should be disposed of in accordance with EPA 006A. Routine administrative materials should be disposed of in accordance with the NARA General Records Schedule or EPA 110A. Directives and policy guidance directives are covered in EPA 007A. See EPA 099A for Pilot Projects.

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 006A, EPA 007A, EPA 099A, EPA 105A, EPA 106H, EPA 110A, EPA 143H

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-1/I/1

<u>Approval</u>	<u>Approval</u>	<u>Entry</u>	<u>Last</u>
<u>Date EPA</u>	<u>Date NARA</u>	<u>Date</u>	<u>Modified</u>
	12/8/86	8/20/91	10/18/95

DRAFT OF 12/14/94

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

4) **SERIES TITLE:** RCRA Corrective Action Files

**PROGRAM:** RCRA

**EPA SERIES NO:** 206R

**NARA SCHEDULE NO.** N1-412-94-4/4  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records documenting corrective action measures as imposed through a permit or enforcement order. Includes RCRA Facility Assessments (RFA), RCRA Facility Investigations (RFI), Corrective Measures Studies (CMS), Corrective Measures Implementation (CMI), and related documents.

**ARRANGEMENT:** Arranged by site or facility.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Paper, forms, photographs

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
permitting and enforcement activities

**SPECIFIC LEGAL REQUIREMENTS:**  
Resource Conservation and Recovery Act, as amended, Section 3004  
40 CFR 264

EPA SERIES NO. 206R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

- a. RCRA land disposal permits:
  - Permanent Yes
- b. All others: Disposable Yes

All others refers to generators, transporters, and TSD facilities (except land disposal) as well as facilities which comply with regulations without following the usual permitting process.

**FILE BREAK INSTRUCTIONS:** Break file at permit renewal or termination; bring forward active materials.

**DISPOSITION INSTRUCTIONS:**

- a. Keep inactive files in office up to 5 years after file break, then retire to FRC. Transfer to NARA 20 years after file break.
- b. Keep inactive files in office up to 5 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Records previously included in NC1-412-85-21/7 or NC1-412-85-20/4. Disposition instructions changed to be consistent with related records series.

**AGENCY-WIDE GUIDANCE:** If authorized States maintain records as long or longer than EPA, the program office may decide to review the records, except for RCRA land disposal permits, in the State offices rather than maintain copies in Regional offices. If the Regional office chooses to review records in State offices, it may destroy these files when no longer needed. However, in that case, the Regional office may not retire the files to the FRC.

RCRA permit files are covered in EPA 478A - RCRA Generators, Transporters, and TSD Facilities Files.

The program office may retain files for facilities likely to become compliance or enforcement issues. Compliance Files are covered in EPA 211R. If case referred to Regional Counsel for enforcement action, files become part of Enforcement Action Files and are covered by EPA 207R. See EPA 210R for Administrative Records - Permits.

**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:**

EPA SERIES NO. 206R

CONTROL INFORMATION:

RELATED ITEMS: EPA 207R, EPA 210R, EPA 211R, EPA 478R

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-20/4, NC1-412-85-21/7

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/24/92	12/14/94

Draft of 4/12/93

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

5) **SERIES TITLE:** Medical Waste Tracking Files

**PROGRAM:** RCRA

**EPA SERIES NO:** 209R

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

**APPLICABILITY:** Regions

*Withdrawn*

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records which document the demonstration program for tracking medical waste from generation to disposal. Includes generator exception reports, on-site incineration reports, transporter notifications, transporter semi-annual reports, tracking form discrepancy reports, and associated correspondence.

**ARRANGEMENT:** Arranged by facility.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Paper, photographs,  
publications, maps and  
architectural materials, forms

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program management

**SPECIFIC LEGAL REQUIREMENTS:**  
Resource Conservation and Recovery Act, as amended, Section 11001  
40 CFR 259

EPA SERIES NO. 209R

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Disposable

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file at end of demonstration project. If program is continued, break file annually.

DISPOSITION INSTRUCTIONS:  
Keep inactive materials in office 2 years, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Demonstration program was conducted in Regions 1 and 2. Long-term documentation of pilot project is captured in other permanent records series. Ten year retention is sufficient for regional administrative needs.

AGENCYWIDE GUIDANCE:

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):

Offices:

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
		2/24/92	4/12/93

DRAFT OF 3/29/96

U.S. EPA RECORDS CONTROL SCHEDULE

Withdrawn

6) **SERIES TITLE:** Administrative Records - Permits

**PROGRAM:** All Programs except Superfund

**EPA SERIES NO:** 210R

**NARA SCHEDULE NO.** N1-412-94-4/6  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit.

**ARRANGEMENT:** Arranged by facility or site.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper, maps and  
architectural materials

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Permitting

**SPECIFIC LEGAL REQUIREMENTS:**

Resource Conservation and Recovery Act, as amended, Section 3005  
Clean Water Act, as amended, Sections 402, 404  
Safe Drinking Water Act, as amended, Section 1421  
Clean Air Act, as amended, Section 502  
40 CFR 124

**EPA SERIES NO. 210R**

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

- a. RCRA land disposal: Permanent
- b. UIC and UIC exemptions: Permanent
- c. NPDES minor permits: Disposable
- d. All others: Disposable

**TRANSFER TO FRC PERMITTED:**

- Yes
- Yes
- Yes
- Yes

All others refers to: NPDES except minors, pretreatment, ocean dumping, Section 404 dredging and fill, PSD, and TSCA PCB disposal.

**FILE BREAK INSTRUCTIONS:** Break file at issuance of administrative record.

**DISPOSITION INSTRUCTIONS:**

a and b. RCRA land disposal - Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to NARA 20 years after file break.

c and d. Keep inactive materials in office up to 5 years after file break, then retire to FRC. Destroy 10 years after file break.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:**

a and b. Permanent retention provides basis for on-going monitoring of possible public health threats to ground water. These records supplement those scheduled as permanent under EPA 205A, item a and EPA 478R, item a.

c and d. A 10 year retention after the file break is sufficient to meet administrative needs of program offices.

**AGENCY-WIDE GUIDANCE:** See EPA 019R for Administrative Records - Superfund Site Specific. Administrative Records Pursuant to the Administrative Procedure Act are scheduled as EPA 294A.

Drafts and working papers may be destroyed after issuance of the final permit.

Compliance Files and Enforcement Files are scheduled as EPA 211 and EPA 207R, respectively. See EPA 206R for RCRA Corrective Actions.

**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:**



EPA SERIES NO. 210R

CONTROL INFORMATION:

RELATED ITEMS: EPA 019R, EPA 205A, EPA 206R, EPA 207R, EPA 211A, EPA 294A,  
EPA 478R

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/24/92	3/29/96

DRAFT OF 10/18/95

U.S. EPA RECORDS CONTROL SCHEDULE

7) **SERIES TITLE:** Water Quality Planning and Management Files

**PROGRAM:** Water

**EPA SERIES NO:** 213R

**NARA SCHEDULE NO.** N1-412-94-4/7  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains documents relating to water quality planning, management and implementation undertaken by States, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality management plans, water quality reports, load allocation working papers, water quality models, correspondence and other related documents.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper, electronic, maps and architectural materials

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program oversight

**SPECIFIC LEGAL REQUIREMENTS:**  
Clean Water Act, as amended, Sections 106, 205, 208, 303-305, 314, 319, 320, 402, 404

EPA SERIES NO. 213R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

- a. Final plans and annual/biennial reports: Permanent Yes
- b. Supporting files: Disposable Yes

**FILE BREAK INSTRUCTIONS:** Break files annually, bring forward active materials.

**DISPOSITION INSTRUCTIONS:**

- a. Final plans and annual/biennial reports - Keep inactive files in office up to 3 years after file break, then retire to FRC. Transfer to NARA when 10 years old.
- b. Supporting files - Keep inactive files in office up to 3 years after file break, then retire to FRC. Destroy when 10 years old.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Combines multiple items from NC1-412-85-17 and one item from NC1-412-85-21. Retention period has been made consistent so all related records are treated in a uniform fashion.

**AGENCY-WIDE GUIDANCE:** See EPA 203R for records dealing specifically with EPA oversight of State programs and EPA 204R for State Program Authorization/Approval Files. Enforcement Action Files and Compliance Files are scheduled as EPA 207R and EPA 211A, respectively.

**PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:**

CUSTODIAL INFORMATION:

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

<b>Name:</b>	<b>Name:</b>
<b>Location:</b>	<b>Mail Code:</b>
<b>Inclusive Dates:</b>	<b>Telephone:</b>
<b>Volume on Hand (Feet):</b>	<b>Office:</b>
<b>Annual Accumulation: (feet or inches)</b>	<b>Room:</b>

CONTROL INFORMATION:

**RELATED ITEMS:** EPA 203R, EPA 204R, EPA 207R, EPA 211A

**PREVIOUSLY APPROVED BY**

**NARA SCHEDULE NOS:** NC1-412-76-1/III/4, 9, 11, 12, and 25, NC1-412-85-17/5 and 8, NC1-412-85-21/8

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/28/92	10/18/95

DRAFT OF 7/31/96

U.S. EPA RECORDS CONTROL SCHEDULE

8) **SERIES TITLE:** Drinking Water Management and <sup>Direct</sup> Implementation Files

**PROGRAM:** Water

**EPA SERIES NO:** 214R

**NARA SCHEDULE NO.** N1-412-94-4/8  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records relating to public water supply systems and the *direct* implementation of the primary and secondary drinking water regulations. Includes supplier reports to the States, public notices and educational materials, public water system inventories, correspondence, and reports.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper, electronic, maps and architectural materials, publications

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Program oversight

**SPECIFIC LEGAL REQUIREMENTS:**  
Safe Drinking Water Act, as amended, Section 1401  
40 CFR 141

EPA SERIES NO. 214R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Retain inactive files in office at least 2 years after file break, then retire to FRC. Destroy when 10 years old.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Retention of 10 years allows adequate time for trend comparison and for expanded sample times of 2 to 3 cycles. States have primary responsibility (primacy) for the programs.

**AGENCY-WIDE GUIDANCE:** Also known as Public Water Supply records.

If State is authorized and maintains records for retention periods identified above, the program office may decide to review the records in the State offices rather than maintain copies in Regional offices, and destroy the copies it receives.

Records documenting the approval process for State programs (primacy) are covered in EPA 204A, State Program Authorization/Approval Files. Other oversight activities covered in EPA 203R, State Oversight files. Enforcement Action Files and Compliance Files are scheduled as EPA 207R and 211A, respectively.

**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 203R, EPA 204A, EPA 207R, EPA 211A

**PREVIOUSLY APPROVED BY**

**NARA SCHEDULE NOS:**

<u>Approval</u> Date EPA	<u>Approval</u> Date NARA	<u>Entry</u> Date	<u>Last</u> Modified
		2/28/92	7/31/96

DRAFT OF 12/14/94

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

9) **SERIES TITLE:** Underground Storage Tanks Site/Facility Files

**PROGRAM:** Underground Storage Tanks

**EPA SERIES NO:** 215R

**NARA SCHEDULE NO.** N1-412-94-4/9  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records that document the management of the program. Includes release reports, site characterization reports, financial assurance, evaluations, information requests, and inspection and sampling reports.

**ARRANGEMENT:** Arranged by site or facility.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Paper, forms, publications  
maps and architectural materials

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Resource Conservation and Recovery Act, as amended, Section 9001  
40 CFR 280

EPA SERIES NO. 215R

DISPOSITION INFORMATION:

FINAL DISPOSITION:  
Disposable

TRANSFER TO FRC PERMITTED:  
Yes

FILE BREAK INSTRUCTIONS: Break file annually, bring forward active materials.

DISPOSITION INSTRUCTIONS: Retain inactive files in office up to 2 years after file break, then retire to FRC. Destroy when 10 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This series constitutes essential documentation of EPA's responsibilities for ensuring underground storage tanks meet regulatory requirements. Retention meets Agency administrative needs.

AGENCY-WIDE GUIDANCE: If authorized States maintain records for retention periods identified above, the program office may decide to review the records in the State offices rather than maintain copies in Regional offices, and destroy the copies it receives.

Program office may retain files in the office if the site or facility is likely to become a compliance or enforcement issue. EPA Series 207R covers Enforcement Action Files and EPA Series 211R covers Compliance Files.

Program office may retain documents deemed to be important historical site information until no longer needed.

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 those 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 207R, EPA 211R

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

<u>Approval</u>	<u>Approval</u>	<u>Entry</u>	<u>Last</u>
<u>Date EPA</u>	<u>Date NARA</u>	<u>Date</u>	<u>Modified</u>
		2/20/92	12/14/94

DRAFT OF 7/25/96

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

10) **SERIES TITLE:** Air Quality Management Files

**PROGRAM:** Air

**EPA SERIES NO:** 216R

**NARA SCHEDULE NO.** N1-412-94-4/10  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records pertaining to implementation and management of primary and secondary air quality standards for criteria pollutants (e.g., carbon monoxide, nitrogen oxides, lead, sulfur dioxides, ozone and particulates). Also covered are the National Emissions Standards for Hazardous Pollutants (NESHAPS) for hazardous air pollutants (e.g., asbestos, mercury, vinyl chloride, benzene, radionuclides, arsenic, and coke oven emissions). Includes annual air quality data reports, air quality modeling reports, annual source emissions and State action reports, prevention of significant air quality deterioration (PSD) non-applicability files, notification forms, Section 109(j) consistency reports, correspondence, and related documents.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper, publications

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program oversight

**SPECIFIC LEGAL REQUIREMENTS:**  
Clean Air Act of 1970, as amended, Section 101 et seq  
40 CFR 51



EPA SERIES NO. 216R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive material in office up to 2 years after file break, then retire to FRC. Destroy when 5 years old.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Previously approved items have been combined and expanded to include records with similar statutory and regulatory requirements.

**AGENCY-WIDE GUIDANCE:** See EPA 217A for State Implementation Plans (SIPs) and EPA 218R for Transportation Control Plans Working Files. Records dealing specifically with EPA's oversight of State programs can be found in EPA 203R. See EPA 205A for permits.

Program offices may retain files in the office if they are likely to become an enforcement or compliance issue. EPA 207R covers enforcement action files and EPA 211A covers compliance. Records dealing with the development, review and approval of standards are covered in EPA 149A.

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 149A, EPA 203R, EPA 205A, EPA 207R, EPA 211A, EPA 217A, EPA 218R

PREVIOUSLY APPROVED BY

**NARA SCHEDULE NOS:** NC1-412-76-1/II/5 and 18, NC1-412-83-4/31

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		4/20/92	7/25/96

EPA SERIES NO. 219R

U.S. EPA RECORDS CONTROL SCHEDULE

ii) SERIES TITLE: Radon Action Files

PROGRAM: Radiation

EPA SERIES NO: 219R

NARA SCHEDULE NO. N1-412-94-4/11  
(Use this number to retire records to the FRC)

APPLICABILITY: Regions

IDENTIFYING INFORMATION:

DESCRIPTION: Records document the management and oversight of the Radon State Grant program and the Regional Radon Training Centers and technical assistance related to radon problem assessment, mitigation, and prevention. Consists of health risk surveys and data, reports, public notices and information, instructional materials, records of communication, and related correspondence.

ARRANGEMENT: Arranged by subject, thereunder chronologically.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:  
None

MEDIUM:  
Paper

VITAL RECORD:  
No

FUNCTIONS SUPPORTED:  
Program oversight

SPECIFIC LEGAL REQUIREMENTS:

Indoor Radon Abatement Act (Title III of the Toxic Substances Control Act),  
Section 301, et seq  
Superfund Amendments and Reauthorization Act of 1986, Section 118(k)  
Stewart B. McKinney Homeless Assistance Act of 1988, Section 1091

EPA SERIES NO. 219R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive materials in office at least 5 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** This item documents the requirement of the Indoor Radon Abatement Act of 1988 for development of programs to evaluate radon mitigation and provision of information on proficient contractors to the public. The 10 year retention meets administrative needs.

**AGENCY-WIDE GUIDANCE:** Copies of grant documents may be filed in this series; the official record copy is scheduled as EPA 003A. See EPA 200A for disposition information on training materials.

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 003A, EPA 200A

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

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/17/92	12/14/94

EPA SERIES NO. 220R

U.S. EPA RECORDS CONTROL SCHEDULE

Withdraw

12) ~~SERIES TITLE: Radiation Facility/Site Files~~

~~PROGRAM: Radiation~~

~~EPA SERIES NO: 220R~~

~~NARA SCHEDULE NO. N1-412-94-4/12  
(Use this number to retire records to the FRC)~~

~~APPLICABILITY: Regions~~

~~IDENTIFYING INFORMATION:~~

~~DESCRIPTION: Documents relating to investigation of radiologically contaminated sites, radioactive waste disposal, and industrial sources of radionuclides as pollutants under NESHAPS (National Emissions Standards for Hazardous Pollutants). Consists of sampling data and data summaries, reports, meeting notes and minutes, environmental impact statements, public notices, and correspondence with State and local governments, citizens, and other Federal agencies.~~

~~ARRANGEMENT: Arranged by State, thereunder by facility or site.~~

~~TYPE OF RECORDS:  
Case files~~

~~SPECIFIC RESTRICTIONS:  
None~~

~~MEDIUM:  
Paper, photographs, publications,  
maps and architectural materials~~

~~VITAL RECORD:~~

~~FUNCTIONS SUPPORTED:  
Program operations~~

~~SPECIFIC LEGAL REQUIREMENTS:~~

~~Atomic Energy Act of 1954, as amended, 42 USC 2011 et seq  
Marine Protection, Research and Sanctuaries Act of 1972, 42 USC 1401, et seq  
Clean Air Act, Section 112, as amended, 42 USC 7401, et seq  
Low-Level Radioactive Waste Policy Amendment Act of 1985,  
42 USC 2012(b)-2021  
Uranium Mill Tailings Radiation Control Act of 1978, 42 USC 7901, et seq  
40 CFR 61  
40 CFR 192~~

EPA SERIES NO. 220R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive files in office up to 5 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** This series constitutes essential documentation of EPA's responsibilities relating to radiological protection of human health. Retention is based on program estimate of useful life of the records.

**AGENCY-WIDE GUIDANCE:** This item applies to radiation facility files held in Regional offices which are responsible for retiring them to the FRC. Records related to site or facility files of other program offices, such as Superfund, may be maintained in those offices and retired under the appropriate site or facility series. All other copies can be destroyed when no longer needed. Non-radioactive NESHAPS are scheduled as EPA 216R.

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 216R

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

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/17/92	12/27/94

EPA SERIES NO. 222R

U.S. EPA RECORDS CONTROL SCHEDULE

13) SERIES TITLE: Nuclear Accident Response Files

PROGRAM: Radiation

EPA SERIES NO: 222R

NARA SCHEDULE NO. N1-412-94-4/13  
(Use this number to retire records to the FRC)

APPLICABILITY: Regions

*Withdrawn*

IDENTIFYING INFORMATION:

DESCRIPTION: This series consists of documents relating to EPA's role in monitoring and assessing effects of radiation exposure to human health from accidents involving radioactive materials, and providing guidance and advice to Federal, State, and local officials on when and how to take protection actions. Includes State and local emergency response plans, inspection reports, correspondence, and safety analysis reports.

ARRANGEMENT: Arranged by subject.

TYPE OF RECORDS:  
Case files

SPECIFIC RESTRICTIONS:  
None

MEDIUM:  
Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:  
Program oversight

SPECIFIC LEGAL REQUIREMENTS:  
Atomic Energy Act of 1954, as amended  
40 CFR 190

EPA SERIES NO. 222R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file annually; bring forward active materials.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 2 years after file break, then retire to FRC. Destroy 5 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Previously approved item NC1-412-85-18/5 has been expanded to include similar records related to nuclear accident response activities of the Agency and is consistent with similar records. Retention is consistent with related oversight records and meets the administrative needs of the program.

AGENCY-WIDE GUIDANCE: Draft reports may be destroyed after receipt of finals. Program may retain records in the office if they are likely to become an enforcement or compliance issue. EPA 207R covers enforcement actions; EPA 211R covers compliance.

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 207R, EPA 211R

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-18/5

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/17/92	12/15/94

DRAFT OF 10/18/95

U.S. EPA RECORDS CONTROL SCHEDULE

14) **SERIES TITLE:** Pesticides Facilities Files

**PROGRAM:** Pesticides

**EPA SERIES NO:** 225R

**NARA SCHEDULE NO.** N1-412-94-4/14  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains documents relating to the manufacture, distribution, and application of pesticides products. Includes registration applications, registrations, investigation reports and supporting papers, certification forms, correspondence, and other related records.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
Confidential Business Information

**MEDIUM:**  
Paper

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Section 12  
40 CFR 167



EPA SERIES NO. 225R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive materials in office up to 5 years after file break, then retire to FRC. Destroy when 10 years old.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Combines items 10 and 13 from NC1-412-76-1/II. Retention period has been made consistent so all related records are treated in a uniform fashion.

**AGENCY-WIDE GUIDANCE:** Program offices may retain files in the office if they are likely to become an enforcement or compliance issue. EPA 207R covers enforcement action files and EPA 211A covers compliance files. See EPA 226R for pesticides imports.

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:

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 207R, EPA 211A, EPA 226R

PREVIOUSLY APPROVED BY

**NARA SCHEDULE NOS:** NC1-412-76-1/II/10 and 13

<u>Approval</u> <u>Date EPA</u>	<u>Approval</u> <u>Date NARA</u>	<u>Entry</u> <u>Date</u>	<u>Last</u> <u>Modified</u>
		8/13/92	10/18/95

DRAFT OF 12/15/94

U.S. EPA RECORDS CONTROL SCHEDULE

15) **SERIES TITLE:** Pesticides Imports Files

**PROGRAM:** Pesticides

**EPA SERIES NO:** 226R

**NARA SCHEDULE NO.** N1-412-94-4/15  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records on source and destination of pesticides imports into the United States. Documents include Notices of Arrival of Pesticides and Services (EPA form 3540-1) and attached registration label of product.

**ARRANGEMENT:** Arranged chronologically.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS**  
None

**MEDIUM:**  
Paper, forms

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Federal Insecticide, Fungicide, and Rodenticide Act, as amended, Section 17

EPA SERIES NO. 226R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 5 years after file break.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Five year retention is based on the program's estimate of the useful life of the records.

**AGENCY-WIDE GUIDANCE:** Pesticides Facilities Files are scheduled as EPA 225R.

**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 225R

**PREVIOUSLY APPROVED BY**

**NARA SCHEDULE NOS:**

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/18/92	12/15/94

DRAFT OF 12/15/94

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

16) **SERIES TITLE:** Toxic Substances Facility Files

**PROGRAM:** Toxic Substances

**EPA SERIES NO:** 227R

**NARA SCHEDULE NO.** N1-412-94-4/16  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains documents relating to the manufacture, processing, or distribution of chemical substances for commercial purposes. Includes copies of release inventory reports, investigation forms, notification forms, data summaries and reports, correspondence, and related documents.

**ARRANGEMENT:** Arranged by State or facility.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
Confidential Business Information

**MEDIUM:**  
Paper

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Toxic Substances Control Act, as amended, Section 8  
40 CFR 710

EPA SERIES NO. 227R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive files in office up to 5 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** This series constitutes essential documentation of EPA's responsibilities relating to control of toxic substances. Retention is based on the program's estimate of the useful life of the records.

**AGENCY-WIDE GUIDANCE:** This item applies to toxic substances facility files held in Regional offices which are responsible for retiring them to the FRC. Records related to site or facility files of other program offices, such as Superfund, may be maintained in those offices and retired under the appropriate site or facility series.

Program offices may retain files in the office if they are likely to become an enforcement or compliance issue. EPA 207R covers enforcement action files and EPA 211R covers compliance files. See EPA 224A for files relating to submission of information on toxic chemical releases under EPCRA 313.

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:

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 207R, EPA 211R, EPA 224A

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

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/24/92	12/15/94

DRAFT OF 4/30/96

U.S. EPA RECORDS CONTROL SCHEDULE

17) **SERIES TITLE:** RCRA Generators, Transporters, and TSD Facilities Files

**PROGRAM:** RCRA

**EPA SERIES NO:** 478A

**NARA SCHEDULE NO.** N1-412-94-4/17

(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Records relate to RCRA generators, transporters, and TSD (treatment, storage and disposal) facilities as required by Subtitle C of the Resource Conservation and Recovery Act. Includes notification forms, permit applications and modifications, background and supporting documentation, public notices, drafts and final permits, comments and records of public meetings, fact sheets, exception reports, appeals, import and export notifications, closure and post-closure documents, inspection reports, court orders, manifests, delistings, correspondence, financial assurance documents, records relating to interim status, and other related records.

**ARRANGEMENT:** Arranged by generator, transporter or facility.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Paper, photographs, publications,  
maps and architectural materials,  
forms

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations and permitting

**SPECIFIC LEGAL REQUIREMENTS:**  
Resource Conservation and Recovery Act, as amended, Section 3005  
40 CFR 260-270

**EPA SERIES NO. 478A**

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

a. RCRA land disposal permits:  
Permanent

**TRANSFER TO FRC PERMITTED:**

Yes

b. All others: Disposable

Yes

All others refers to generators, transporters, and TSD facilities (except land disposal) as well as facilities which comply with regulations without following the usual permit process.

**FILE BREAK INSTRUCTIONS:** Break file at permit renewal or termination; bring forward active materials (e.g., current permit).

**DISPOSITION INSTRUCTIONS:**

a. Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to NARA 20 years after file break.

b. Keep inactive materials in office up to 5 years after file break, then retire to FRC. Destroy 10 years after file break.

With FRC approval, records may be retired to FRC prior to designated time if volume warrants.

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** This combines previously scheduled items 2 and 3 of NC1-412-85-20. Land disposal permits have been changed to permanent retention to provide a basis for on-going monitoring of possible public health threats to ground water. RCRA land disposal sites pose the same long term threats that Superfund sites do and merit the same retention. These files contain information that would prove invaluable for remedial action if it should be determined that such action is warranted. CBI documents are sent to Headquarters for review.

**AGENCY-WIDE GUIDANCE:** If authorized States maintain disposable records for retention periods identified above, the program office may decide to review the records in the State offices rather than maintain copies in Regional offices and destroy the copies it receives.

Draft permits may be destroyed after approval of the final permit.

Notification forms which have been withdrawn or cancelled prior to issuance of a permit are subject to the same retention as the permits.

If land disposal permits are included or combined with other permits, they may be separated if practical and volume warrants.

The program office may retain files in the office if they are likely to become a compliance or enforcement issue. See EPA 211A for Compliance Files and EPA 207R for Enforcement Action Files. EPA 210R covers Administrative Records. Corrective Actions are scheduled as EPA 206R; EPA 252A covers RCRIS; and State Program Authorizations/Approvals are EPA 204A. Permits for other programs are scheduled as EPA 205A.

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 witnessed disposal for records destroyed by contractors.

**PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**

EPA SERIES NO. 478A

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 204A, EPA 205A, EPA 206R, EPA 207R, EPA 210R, EPA 211A,  
EPA 252A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-20/2 and 3

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/3/93	4/30/96



DRAFT OF 2/28/95

U.S. EPA RECORDS CONTROL SCHEDULE

18) **SERIES TITLE:** Oil Removal Contingency Plans

**PROGRAM:** Oil

**EPA SERIES NO:** 093R

**NARA SCHEDULE NO.** N1-412-94-4/18

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Consists of State, local, and regional contingency plans for oil removal, providing for the coordination of the total response to an oil discharge so that contingency organizations can function independently, in conjunction with each other, or in conjunction with the National and Regional Response Teams established by the National Oil and Hazardous Materials Pollution Contingency Plan. Copies are widely distributed to State, local, and other Federal agencies.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Program operations

**SPECIFIC LEGAL REQUIREMENTS:**  
Federal Water Pollution Control Act, as amended, Section 11(j)(1)(B)  
40 CFR 109

EPA SERIES 093R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

No

**FILE BREAK INSTRUCTIONS:** Break file when superseded.

**DISPOSITION INSTRUCTIONS:** Destroy when no longer needed.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Current plans are retained only for immediate reference during emergency situations. Originating jurisdictions are responsible for record copies.

**AGENCY-WIDE GUIDANCE:** Programs should retain only current version of each jurisdictional plan.

**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:

**PREVIOUSLY APPROVED BY**

**NARA SCHEDULE NOS:**

<u>Approval</u>	<u>Approval</u>	<u>Entry</u>	<u>Last</u>
<u>Date EPA</u>	<u>Date NARA</u>	<u>Date</u>	<u>Modified</u>
		6/21/93	2/28/95

DRAFT OF 2/28/95

U.S. EPA RECORDS CONTROL SCHEDULE

19) **SERIES TITLE:** CFC Certificates

**PROGRAM:** Air

**EPA SERIES NO:** 228R

**NARA SCHEDULE NO.** N1-412-94-4/19  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains CFC (chlorofluorocarbon) certificates received by Regional offices under the Clear Air Act Amendments of 1990. Consists of MVAC (motor vehicle air conditioning) Recover/Recycle or Recover Equipment Certification Form and EPA Refrigerant Recovery or Recycling Device Acquisition Certification Form.

**ARRANGEMENT:** Arrangement varies.

**TYPE OF RECORDS:**  
Forms

**SPECIFIC RESTRICTIONS:**  
None

**MEDIUM:**  
Paper

**VITAL RECORD:**  
No

**FUNCTIONS SUPPORTED:**  
Enforcement activities

**SPECIFIC LEGAL REQUIREMENTS:**  
Clean Air Act, as amended in 1990, Public Law 101-549, Title VI -  
Stratospheric Ozone Protection, Sections 608 and 609  
40 CFR 82

EPA SERIES NO. 228R

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

**FILE BREAK INSTRUCTIONS:** Break file annually; bring forward active materials.

**DISPOSITION INSTRUCTIONS:** Keep inactive material in office 6 months after file break, then retire to FRC. Destroy when 5 years old.

APPLICATION GUIDANCE:

**REASONS FOR DISPOSITION:** Records document the requirements set forth in the CAA Amendment of 1990, Title VI, Sections 608 and 609 requiring individuals and owners of any appliance containing and/or using a Class I or II substance for household commercial purposes to submit certification forms to the appropriate EPA office. The 5 year retention meets program needs.

**AGENCY-WIDE GUIDANCE:**

**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:

**PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:**

<u>Approval</u> <u>Date EPA</u>	<u>Approval</u> <u>Date NARA</u>	<u>Entry</u> <u>Date</u>	<u>Last</u> <u>Modified</u>
		9/25/93	2/28/95

DRAFT OF 11/26/96

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

20) **SERIES TITLE:** Permit Appeal Files

**PROGRAM:** All Programs

**EPA SERIES NO:** 236R

**NARA SCHEDULE NO.** N1-412-94-4/20  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Regions

*withdraw*

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Contains records used to document the appeal process of permits issued by EPA regional offices. Includes copies of the administrative record, requests for evidentiary hearings, responses and/or petitions for review and responses, reply briefs, hearing transcripts, research, settlement records, orders, motions and final decisions of the Regional Administrator, Administrative Law Judge and/or Evidentiary Appeal Board.

**ARRANGEMENT:** Arranged by site or facility.

**TYPE OF RECORDS:**  
Case files

**SPECIFIC RESTRICTIONS:**  
Enforcement Sensitive Information

**MEDIUM:**  
Paper

**VITAL RECORD:**

**FUNCTIONS SUPPORTED:**  
Permitting

**SPECIFIC LEGAL REQUIREMENTS:**

Clean Water Act, as amended, Sections 402, 404  
Clean Air Act, as amended, Section 502  
Safe Drinking Water Act, as amended, Sections 1401, et seq.  
40 CFR 52                      40 CFR 123                      40 CFR 144  
40 CFR 122                      40 CFR 124                      40 CFR 220

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Record copy: Disposable, except landmark or precedent cases which are permanent as designated by the Regional Administrator or the Regional Administrator's designee Yes

TRANSFER TO FRC PERMITTED:

FILE BREAK INSTRUCTIONS: Break file when final decision on appeal is handed down.

DISPOSITION INSTRUCTIONS:

a. Routine action: Keep inactive materials in office up to 2 years after file break, then retire to FRC. Destroy when 10 years old.

b. Landmark action: Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to the National Archives in 5 year blocks when most recent record is 20 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: A 10 year retention for routine appeals ensures that at least one permit renewal cycle is completed prior to destruction of the records and allows review of any previous appeals. Permanent retention of landmark cases provides a history of Agency decisions.

AGENCY-WIDE GUIDANCE: This schedule covers records maintained in the Office of Regional Counsel who is responsible for maintaining the record copy and implementing the disposition, including selecting landmark cases for recommendation to the Regional Administrator or the Regional Administrator's designee. Examples of possible landmark status would be appeals which require a hearing. If records are maintained in other program offices, they are to be maintained for the same length of time as stated in the disposition instructions.

Copies of these records may be filed with other records series (for example, with permits) and destroyed with those files or when no longer needed. All other copies may be destroyed when no longer needed.

See EPA 205A for Permits for programs other than RCRA, and EPA 478R for RCRA.

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 205A, EPA 478R

EPA SERIES NO. 236R

PREVIOUSLY APPROVED BY  
NARA SCHEDULE NOS:

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Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		10/6/94	11/26/96

