

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
N1-412-94-5

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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 JUN 22 1995 ARCHIVIST OF THE UNITED STATE
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 <i>Michael L. Miller</i> Michael L. Miller	TITLE Agency Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NAR USE ONLY)
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Schedule submission includes items covering ~~Agency-wide, Headquarters-wide, Regional, and Superfund~~ and RCRA records.

Superseded job citations listed on individual items.

Copies sent to Agency, NCF, NAT, NSX, NIA 7/3/95

**LISTING OF RCRA PROGRAM SCHEDULES
BY
SERIES TITLE**

EPA DISPOSITION SCHEDULES BY SERIES TITLE
Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM	
— Biennial Report System (BRS)	251A	AW	RCRA	Item 1
Hazardous Waste Generators Survey Data Base (GENERATOR)	103H	HQ	RCRA	
Hazardous Waste TSDR Facilities Survey (TSDR SURVE)	104H	HQ	RCRA	
Import and Export Notifications	256H	HQ	RCRA	
Medical Waste Tracking Files	209R	R	RCRA	
RCRA Corrective Action Files	206R	R	RCRA	
RCRA Generators, Transporters, and TSD Facilities Files	478R	R	RCRA	
RCRA Solid Waste Management Plans	201A	AW	RCRA	
— Resource Conservation and Recovery Information System (RCRIS)	252A	AW	RCRA	Item 2
Survey Response Questionnaires and Related Documentation	102H	HQ	RCRA	

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U.S. EPA RECORDS CONTROL SCHEDULE

1) **SERIES TITLE:** Biennial Reporting System (BRS) ✓**PROGRAM:** RCRA**EPA SERIES NO:** 251A**NARA SCHEDULE NO.** N1-412-94-5/1**APPLICABILITY:** Agency-wide**IDENTIFYING INFORMATION:**

DESCRIPTION: RCRA Sections 3002 and 3005 require hazardous waste generators, transporters, and storage, treatment, and disposal facilities to submit a report containing a description of the type and quantity of waste handled during the reporting year and the method(s) of treatment, storage, or disposal. These reports are to be submitted to RCRA authorized States on March 1 of the year following the reporting year though some States require annual reporting. The States' compiled reports are then electronically submitted to the EPA Regional offices by September of that year. This data is used to prepare the National Biennial RCRA Hazardous Waste Report which provides data needed to oversee the environmental progress of the RCRA program, to measure the success of multiple program goals, to support the development of regulations and to evaluate their environmental impact, and to set environmentally based permitting and compliance priorities.

ARRANGEMENT: One record for each facility.**TYPE OF RECORDS:**

Data file

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Electronic, paper

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

RCRA recordkeeping and reporting requirements

SPECIFIC LEGAL REQUIREMENTS:

Resource Conservation and Recovery Act, as amended, Sections 3002, 3005

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DISPOSITION INFORMATION:

FINAL DISPOSITION:

TRANSFER TO FRC PERMITTED:

a. BRS electronic software program: Disposable	No
b(1). Input forms: Disposable	No
(2). Electronic transmissions: Disposable	No
c(1). Electronic data, 1985-1987: Disposable	No
(2). Electronic data, 1989 - present: Permanent	Yes
d(1). Biennial Reports: Permanent	Yes
(2). Ad hoc reports	Dependent on related records
e. Supporting documentation: Permanent	No

FILE BREAK INSTRUCTIONS:

- a. Break at the end (December 31) of each biennial reporting year.
- b(1). Break input forms (paper file) at the end of each reporting year plus 1 year.
- (2). Break all intermediate electronic transmissions of data (input systems), following initial input, upon successful transmission.
- c(1). Break according to disposition instructions below.
- (2). Break upon publication of Biennial Report.
- d(1). Break upon publication of Biennial Report.
- (2). File all other ad hoc reports and printouts with appropriate case file or related records. Follow file break instructions for related records.
- e. Break upon publication of Biennial Report.

DISPOSITION INSTRUCTIONS:

- a. Delete when no longer needed to support program mission.
- b(1). Retain for 2 years, then delete.
- (2). Delete upon successful transmission of data.
- c(1). Delete upon approval of this schedule by the Archivist of the United States.
- (2). Transfer ASCII or EBCDIC flat file of data on new or recertified one-half inch, 9 track tape or cartridge to the National Archives, with tape layout, block size, and other tape specifications, and the published Biennial Report.
- d(1). Transfer the Biennial Report to the National Archives along with electronic data (item c(2)).

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(2). For all other ad hoc reports and printouts, 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. Supporting documentation will include the file specifications and record layouts. This documentation would be transferred along with the transfer of the electronic data flat file (item c(2)) and the published Biennial Report.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: BRS data constitutes essential documentation of the hazardous waste facility information required by RCRA regulations as part of recordkeeping and reporting requirements and is used primarily to produce the Biennial Report. The Biennial Report supplies information on the amounts and kinds of hazardous waste being generated, transported, and stored within the United States. Input forms are needed for data verification during the preparation of the final Biennial Report and the retention complies with record holding requirements stated in the regulation. The retention of the input systems used to transfer data complies with GRS 20/2.

AGENCY-WIDE GUIDANCE: The BRS data life cycle begins with each reporting year. Reporting years are every other year beginning with 1985; thus each reporting year falls on odd numbered years. Facilities are required to submit information on the amounts and kinds of hazardous waste being generated, transported, and stored during the reporting year. This information is submitted to the State in which the facility is located by March 1st of the year following the reporting year. The States transfer the information collected from each facility to the EPA Regional office who then transfers the information collected from the States to the national oversight database. Information in the national oversight database is then used to consolidate the information for distribution and to prepare the Biennial Report. The Biennial Report is published after the reporting year.

The national oversight system and the publication of the Biennial Report is under the custody of the Office of Solid Waste (OSW) who is responsible for implementing the disposition of items a, c(1) and (2), d(1), and e.

Item a represents the electronic software used to compile data for the generation of the Biennial Report. Once the Biennial Report for each reporting period is published, the software is no longer needed for data collection and report generation. For example, the electronic software used to produce the 1993 Biennial Report (published in 1995) has served its usefulness since it was used to compile information on the 1993 reporting year. It can, then, be deleted at the end of the 1995 calendar year or December 1995.

Item c(1) refers to the electronic data collected prior to the reporting period 1989. Since the data can no longer be processed in electronic form, any remaining data can be deleted upon approval of this schedule by the National Archives.

Item c(2) refers to the electronic data collected for the reporting years 1989, 1991, and 1993 to the present and into the future. Electronic data collected for reporting periods 1989 and 1991 are to be transferred to the National Archives, immediately upon approval of this schedule, along with the published 1989 and 1991 Biennial Reports (item d(1)) and systems documentation (item e) for the system used in 1990-91 for compiling 1989 data for preparing the 1989 Biennial Report and in 1992-93 for compiling 1991 data for preparing the 1991 Biennial Report. Electronic data collected for the 1993 reporting period is to be transferred to the National Archives in 1995, upon final publication of the 1993 Biennial Report, along with a copy of the 1993 Biennial Report. Future collections of BRS data will be dispositioned

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according to the same pattern with the electronic data collected for each reporting year being transferred to the National Archives upon final publication of the Biennial Report for the reporting year. At the time of the transfer of the electronic data, a copy of the Biennial Report for the reporting year (item d(1)) and the system documentation (item e) for the BRS system used to compile data for that reporting year's Biennial Report are also transferred.

Item b(1), paper input forms containing data on the 1993 reporting year submitted to the EPA on March 1, 1994, are to be closed out in December 1994. The forms are to be retained by the States for 2 additional years and destroyed in December 1996. Input forms for the 1989 reporting period can be destroyed as of December 1992. Input forms for the 1991 reporting period can be destroyed as of December 1993. Input forms for the 1995 reporting period will be closed out in December 1996 and can be destroyed in December 1998. Input forms used for future data collections are to be closed out in December of the year following the reporting year, held for 2 additional years, and destroyed in December of that second year.

The disposition of item b(2), electronic transmissions of data (input systems), including all regional and merge data backups are the responsibility of the appropriate Regional or State office upon verification of successful transfer.

Item d(2), ad hoc reports filed with related records, are dispositioned according to the instructions for the related records by the office maintaining those records. They are not the responsibility of the Office of Solid Waste.

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

Name: OSWER/OSW

Location: Headquarters

Inclusive Dates: 1985-

Volume on Hand (Feet):

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

Name: David Updike

Mail Code: 5305

Telephone: 202-260-9658

Office: OSWER/OSW/CABD

Room: SE 264A

CONTROL INFORMATION:

RELATED ITEMS: EPA 102H, EPA 103H, EPA 104H, EPA 252A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	5/11/95

Draft of 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE2) **SERIES TITLE:** Resource Conservation and Recovery Information System (RCRIS)**PROGRAM:** RCRA**EPA SERIES NO:** 252A**NARA SCHEDULE NO.** Pending**APPLICABILITY:** Agencywide**IDENTIFYING INFORMATION:**

DESCRIPTION: RCRIS combines information from two RCRA program support systems: the Hazardous Waste Data Management System (HWDMS) and the Corrective Action Reporting System (CARS). It replaces HWDMS and accommodates new data as required by the 1984 Hazardous and Solid Waste Amendments (HSWA). The system maintains data on hazardous waste generators, transporters, and storage, treatment, and disposal facilities regulated under RCRA Subtitle C. It provides tracking data on the status of facility permitting and compliance. It is used interactively at the State and Regional level for on-line data editing and report generation with monthly updates made to the National Oversight database through batch upload and merges.

ARRANGEMENT: One record for each facility.**TYPE OF RECORDS:**
Data file**SPECIFIC RESTRICTIONS:**
None**MEDIUM:**
Electronic, paper**VITAL RECORD:**
Yes**FUNCTIONS SUPPORTED:**
RCRA permitting, compliance, and enforcement**SPECIFIC LEGAL REQUIREMENTS:**
Resource Conservation and Recovery Act, as amended

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DISPOSITION INFORMATION:FINAL DISPOSITION:

a. RCRIS electronic software program: Disposable

TRANSFER TO FRC PERMITTED:

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 software program at the end of each major format change cycle and when tapes for the fourth quarter of each fiscal year are sent to NTIS and/or when superseded by routine software updates.

b. Break paper file when data has been submitted to the States for data entry. Break input systems from State and Regional data bases when data has been merged into the national data base and when quality assurance of data and electronic transfer, and when quarterly update report has been made.

c. Break data file at the end of each format change cycle and when tapes for the fourth quarter of each fiscal year are sent to NTIS.

d. File ad hoc reports and printouts with appropriate case file or related records. Follow file break instructions for related records.

e. Break file at the end of each major format change of RCRIS.

DISPOSITION INSTRUCTIONS:

a. For each major format change of RCRIS, 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. Hold paper input 3 years, then destroy. Delete input system data following quality assurance of data, verification of electronic transfer, and when quarterly update report has been made.

~~c.~~ Transfer ASCII or EBCDIC flat file of data on new or certified 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 time of data file break, beginning in 1994.

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 same year as the major version change.

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APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item is the major data system supporting all operations required by RCRA regulations for permitting, hazardous waste tracking, corrective actions and enforcement of hazardous waste generators, transporters, treatment, and disposal facilities. This system replaces the Hazardous Waste Data Management System (HWDMS) which was appraised by the National Archives in 1981 as permanent. Since this system undergoes daily updates and additional information contained in the input systems at the PC level and in the Regional merge data bases is required to conduct daily data entry operations, special instructions on the handling of systems backups was required. Since the system captures significant historical information of the status of hazardous waste in the environment which would otherwise be lost in an active data system, yearly transfer of tapes to the National Archives is necessary.

AGENCYWIDE GUIDANCE: Record copies are under the custody of the Communications, Analysis and Budget Division, Information Management Branch (CABD/IMB) of Office of Solid Waste (OSW). OSW/CABD/IMB staff is responsible for implementing the disposition as stated in items a, c, and e.

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.

The disposition of all input forms and input systems, including all regional and merge data backups are the responsibility of the appropriate Regional office.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Regional RCRA offices should advise the appropriate State and local government programs generating or receiving RCRIS input forms and/or input systems to disposition these records according to the instructions given for item b.

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: OSWER/OSW

Location: U.S. EPA HQ

Inclusive Dates: 1991-

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

.CONTACT POINT:

Name: Kevin Phelps/Donna Inman

Mail Code: OS-312

Telephone: 202-260-4697

Office: OSWER/OSW/CABD

Room: SE 264H

CONTROL INFORMATION:

RELATED ITEMS: EPA 206R, EPA 207R, EPA 211R, EPA 251A, EPA 478R

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-81-18/5, NC1-412-85-7/18

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	4/28/93