REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER	N1-412-99-1

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

DATE RECEIVED 11 / 12 / 98

1. FROM (Agency or establishment)

Environmental Protection Agency

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Rachel Van Wingen	202-260-9709		Withdrawn

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 ____ 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,

X is not required; ☐ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
11/3/98	Rachel Van Wingen	Agency Records Officer

7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached U.S. EPA Records Control Schedules:		
~~049A~~	Withdrawn per agency request. See email dated 11/29/01		crossed off items are withdrawn from this schedule. YKW 11-9-99
~~098A~~			
~~234R~~			
~~235R~~			
~~468A~~			
~~575A~~			
~~576A~~			
~~707A~~			

cc: Agency

115-109   PREVIOUS EDITION NOT USABLE   **STANDARD FORM SF 115 (REV. 3-91)**
Prescribed by NARA 36 CFR 1228

DRAFT OF 5/5/00

U.S. EPA RECORDS SCHEDULE

SERIES TITLE: Superfund Document Management System (SDMS)

PROGRAM: Superfund

EPA SERIES NO: 049

AGENCY FILE CODE: SUPR 049

NARA DISPOSAL AUTHORITY: N1-412-99-1/1
(Use this number to retire records to the FRC)

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APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:
DESCRIPTION: The Superfund Document Management System (SDMS) is an imaging system for managing records associated with Superfund sites and is implemented on a regional basis. It functions as a utility to store, index, retrieve, redact, and annotate records; and to create special records collections. Paper records are scanned into the system and captured as images. Other record media (e.g., microform, electronic) can be input into the system and captured as images as well. Images may be converted to full text using Optical Character Recognition (OCR) scanning and a full text inverted index may be generated to facilitate locating SDMS documents containing particular words or phrases. Document identifying data, also called document index terms, are entered into the system for all images captured in the system as well as for related records which are not imaged (e.g., audio-visual materials, and, in some cases, photographs, oversized paper records, or microform). It is possible, using SDMS, to capture all Superfund records for a site, however, there is great variability in the implementation among the regions (i.e., not all records of every site, or not all record types are indexed and/or imaged in the same way.)

ARRANGEMENT: Arrangement varies. Images are stored by image ID number; document index records are stored by document and record ID number.

TYPE OF RECORDS:
Data files, reports

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:
Electronic, paper, microform

VITAL RECORD:
Yes

FUNCTIONS SUPPORTED:
Program operations, cost recovery, and Freedom of Information Act

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

Withdrawn

EPA SERIES NO. 049

a. For each major version change of SDMS, maintain current version following procedures required in ETSD=s policies and directives. Delete/destroy software when superseded.

b(1-5). Follow disposition instructions for related records.
 (6). Destroy input record after verification of data in the master index file item c(2).

c(1). For sites that have become inactive: Electronic images cannot be converted to ASCII or EBCDIC; the imaged paper or microform is the official record and should be dispositioned following disposition instructions for related records. For electronic images delete when superseded by next update or conversion.

 (2). Transfer ASCII or EBCDIC flat file of data to the National Archives, as specified in 36 CFR 1228.188. Include data for active and inactive sites as of the file break date.

 (3). For sites that have become inactive: a paper copy should be made of any annotated documents; follow disposition instructions for related records.

 (4). Follow disposition instructions for related records.

 (5 and 6). Delete index/access for full text documents for images related to sites that have become inactive.

d. Follow disposition instructions for related records.

e. Keep inactive materials in office up to 2 years after file break, then:
 (1) Transfer documentation for the index and annotations to the National Archives along with item c(2) and item c(3).

 (2) Destroy or delete remaining documentation when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest. **GRS 20, item 11**

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: The disposition instructions for electronic software programs, data, output and reports, and supporting documentation are consistent with other related systems. In addition, output from SDMS is anticipated to be important only as it fills the needs of other records series already approved by the National Archives. SDMS input records are covered by other schedules already approved by the National Archives.

AGENCY-WIDE GUIDANCE: The official record copies (inputs and outputs to SDMS) are filed in the appropriate case files under related records series. These include:

        EPA 001 -   Grants and Other Program Support Agreements - Superfund Site
                    Specific
        EPA 010 -   Site Assessment
        EPA 012 -   Federal Agency Hazardous Waste Compliance Site Files
        EPA 013 -   Removal Site Files - Superfund Site Specific
        EPA 014 -   Remedial Site Files - Superfund Site Specific
        EPA 018 -   Sampling and Analytical Data Files - Superfund Site Specific
        EPA 019 -   Administrative Records - Superfund Site Specific
        EPA 020 -   Contract Management Records - Superfund Site Specific

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    EPA 024 -   Cost Recovery Records
    EPA 025 -   Enforcement Actions - Superfund Site Specific
    EPA 030 -   Freedom of Information Act (FOIA) Request Files
    EPA 258 -   Final Deliverables Resulting from Contractor Studies and
                 Services

System Definitions

a. Electronic software programs: The instructions or routines that manage
the functions controlling the data and images. The programs allow the user to
create, access, manipulate, transmit, and store data and images.

b. Input: The source records used to enter data or images into SDMS. They
can be on several different media, described below. Output records can also
be used as input during a proof-and-correct cycle.

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  (1)   Imaged paper: Original paper documents scanned into the system.
        (Oversized maps, photographs, and other original documents that include
        color, grey-scale, raised lettering, etc., that need to be preserved
        with more precision than a black and white image may need to be
        categorized as "other media" even if they are fully scanned into the
        system.)

  (2)   Imaged microform: Images on microfilm, microfiche, film jackets, etc.,
        that are input into SDMS.

  (3)   Electronic/optical images: Images on optical disk, optical tape,
        magneto-optical disk, magnetic disk, etc., that are input into SDMS.

  (4)   Electronic/magnetic media: Text and data in machine-readable electronic
        format that are imported as records into SDMS.

  (5)   Other media: Oversized maps, video tapes, audio tapes, and any other
        records that are not fully imaged into SDMS. Includes images that have
        color, grey-scale, raised lettering, etc., that need to be preserved
        with more precision than a black and white image even though they are
        fully scanned into the system. Includes microform reels and optical
        disks, etc., where the individual images on the medium have not been
        included in SDMS. A place holder (photocopy of the container or other
        identifying form) represents these items as images in the system.

  (6)   Index data input systems: Text and data in paper or other media used to
        record information about images captured in SDMS or about items that are
        tracked by but not imaged in SDMS. Includes index text or data that are
        entered into SDMS electronically from another system (e.g., CERCLIS,
        IFMS, or SCORES). The information on these forms is entered into SDMS
        as document-level and supporting index terms to the images.

c. Electronic data: Consists of the scanned images, document index terms,
annotations to the images, redactions, and full text documents.

  (1)   Electronic images

  (2)   Document index terms: The document index terms consist of document
        identifying information, entered manually or through input systems,
        about each record that is captured in SDMS. A captured record may
        either be an image or a record that is indexed but not imaged in SDMS.
        These index terms are organized into many relational tables that relate,
        either directly or indirectly, to a document that is captured in SDMS.

Withdrawn

(3) Annotations: Annotations are comments on an image. They are linked to a location on an electronic image by an image identifier and coordinates for that image. They are entered in as text by the users, and may contain valuable insight into and interpretations of documents. They are relevant only if they are tied to the image to which they refer.

(4) Redactions: Redactions are blacked or whited out areas stored as coordinates which overlay electronic images to prevent unauthorized users from accessing sensitive information. Redacted coordinates are not a useful tool for ensuring the prevention of unauthorized access outside the proprietary SDMS platform.

(5) Full text documents: The full text documents consist of full text versions of images, created using Optical Character Recognition (OCR) scanning. They are accessible only to authorized users. The OCR'd text may or may not be corrected prior to its use in creating the full text indexes. Full text documents may be imported into word processing for correction or for use in other documents. Corrected ASCII text may be uploaded to SDMS. Full text documents in SDMS are not considered reliable records due to the inaccuracies inherent in the OCR process and the relative ease with which these records can be altered. They are useful in enhancing the changes or finding relevant images (by searching for keywords in the full text documents and then calling up the related images) and in saving typing time (for those passages that are downloaded and used in other documents).

(6) Full text inverted index: Consists of a list of words that appear in the full text of SDMS documents (minus common sense words such as Athe,@ Aand,@ Ato,@ etc.) And pointers as to where those words occur. It is used to quickly identify those documents or pages containing words used in a search string keyed in by an SDMS user.

d. Output: A result of the function of SDMS. Output can be recorded on paper, electronic media, optical media, another computer, fax machine, or microform. Output becomes a new record when it is used for a specific purpose such as responding to a FOIA request or providing documentation for litigation or cost recovery.

Output to the screen, whether a formal report is produced or not, is a record and must be captured if used in decision-making (e.g., a user may call up an image of a map of the site and decide, based on the image, that a fence needs to be built -- the image on the screen is a record of the reason for that decision and should be printed out and filed with the other records for that site.

e. Supporting documentation: Those records maintained by the system manager in the course of developing, enhancing, maintaining and supporting EPA program information systems. The records document how the system captures, manipulates, and outputs data. Supporting documentation includes all life cycle products from initiation and concept to system implementation and operation. Documents may include: cost/benefit analysis; background information; system validation test and platform test data and documents; workgroup records; correspondence; functional requirements reports; data requirements reports; data design reports; database design; development system reports and decision paper; requirements specifications; programming specifications; source codes; user guides; maintenance manual; operations

EPA SERIES NO. 049

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**

a. SDMS electronic software
programs: Disposable   No

b. Input
   (1) Imaged paper   Dependent on related records
   (2) Imaged microform   Dependent on related records
   (3) Electronic optical images Dependent on related records
   (4) Electronic text images   Dependent on related records
   (5) Other media   Dependent on related records
   (6) Index data: Disposable   No

c. Electronic data
   (1) Electronic images:
     Disposable   No
   (2) Document index terms:
     Permanent   No
   (3) Annotations: Permanent   No
   (4) Redactions: Dependent on related records
   (5) Full text documents:
     Disposable   No
   (6) Full text inverted
     Index: Disposable   No

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d. Output and reports   Dependent on related records

e. Supporting documentation
   (1) for index and annotations:
     Permanent   No
   (2) for remaining documentation:
     Disposable   No

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

b(1-4). Break file after quality assurance check has been performed and images have been backed up.

  (5). Break file according to instructions for related records.

  (6). Break file after quality assurance check has been performed and index data have been backed up.

c(1 and 2). Break file at the end of a complete input document (item b).

  (3). Since an annotation becomes an integral part of an existing document (unless removed by the person adding it); a file break does not apply.

  (4-6). File break does not apply.

d. Break file according to instructions for related records.

e. Break file at each major version change of SDMS.

DISPOSITION INSTRUCTIONS: