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| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>  |   | JOB NUMBER<br>N1-412-99-23   |   |
| To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)<br>WASHINGTON, DC 20408  |   | DATE RECEIVED<br>9/27/99   |   |
| 1. FROM (Agency or establishment)<br>Environmental Protection Agency  |   | NOTIFICATION TO AGENCY<br><br>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. |   |
| 2. MAJOR SUBDIVISION<br>Superfund   |   |  |   |
| 3. MINOR SUBDIVISION  |   |  |   |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br>Rachel Van Wingen  | 5. TELEPHONE<br>202/260-9709  | DATE<br>5-10-00  | ARCHIVIST OF THE UNITED STATES<br><i>John W. Paul</i> |
| 6. AGENCY CERTIFICATION<br>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,<br><br><input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. |   |  |   |
| DATE<br>9/23/99   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Rachel Van Wingen</i><br>Rachel Van Wingen | TITLE<br>Agency Records Officer  |   |
|   |   | 9. GRS OR SUPERSEDED JOB CITATION  | 10. ACTION TAKEN (NARA USE ONLY)                      |
| See attached U.S. EPA Records Control Schedule for:<br><br>014  |   |  |   |

*Agency NR NWMD*

DRAFT OF 11/15/99

**U.S. EPA RECORDS SCHEDULE**

**SERIES TITLE:** Remedial Site Files - Superfund Site Specific

**PROGRAM:** Superfund

**EPA SERIES NO:** 014

**AGENCY FILE CODE:** SUPR 014

**NARA DISPOSAL AUTHORITY:** N1-412-99-23  
(Use this number to retire records to the FRC)

**APPLICABILITY:** Agency-wide

**IDENTIFYING INFORMATION:**

**DESCRIPTION:** Site-specific records relating to activities conducted at remedial sites by EPA and non-EPA lead entities (e.g., PRP, State, Federal facilities, other). Includes:

*Pre-Record of Decision (ROD) records* - Examples of specific documents include correspondence and memoranda, Quality Assurance Project Plans (QAPPs), Endangerment Assessment, Risk Assessment, Health and Safety Plans, Potentially Responsible Party (PRP) searches and investigations, Projects Operations Plans (POPs), Remedial Investigation (RI) Reports, Feasibility Study (FS) Reports, Proposed Plans for Selected Remedial Action, and Applicable or Relevant and Appropriate Requirements (ARARs), Congressional inquiries, Community Relations Plans and other site-specific public awareness records. Also includes a headquarters pre-ROD review package, including site-specific review requirement and review.

*Post-ROD records* - Examples of specific documents include correspondence and memoranda, the ROD, State concurrence letters, ROD Delegation Documents, Responsiveness Summaries, work assignments, progress reports, and other documents related to the remedial design and remedial action phases.

*Operation and Maintenance (O&M) records* - Examples of specific documents related to long-term treatment measures needed to achieve cleanup objectives include correspondence and memoranda, operation and maintenance plans, monitoring agreements, sampling and analysis data, inspection reports, construction completion documentation packages, site close out, and NPL Deletion Packages.

**ARRANGEMENT:** Arranged by site.

**TYPE OF RECORDS:**  
Case files

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

**MEDIUM:**  
Paper, photographs, publications,

**VITAL RECORD:**

**EPA SERIES NO. 014**

maps and architectural materials,  
forms, video/film, electronic

**FUNCTIONS SUPPORTED:**

Program operations

**SPECIFIC LEGAL REQUIREMENTS:**

Comprehensive Environmental Response, Compensation, and Liability Act,  
Sections 104 and 106, 42 USCA 9604 and 9606  
40 CFR 300

**DISPOSITION INFORMATION:**

**FINAL DISPOSITION:**

**TRANSFER TO FRC PERMITTED:**

|  |     |
|--|-----|
| a. Paper (non-microformed and non-imaged): Permanent                           | Yes |
| b. Paper (microformed): Disposable   | No  |
| c. Paper (imaged): Permanent   | Yes |
| d. Microform: Permanent  | Yes |
| e. Electronic versions created with office automation applications: Disposable | No  |

**FILE BREAK INSTRUCTIONS:**

- a. Break file at issuance of ROD for the site or operable unit and appropriate milestones thereafter.
- b-d. Break file upon completion of filming or imaging.
- e. See Disposition Instructions.

**DISPOSITION INSTRUCTIONS:**

- a. Keep in office at least 1 year after file break, then retire to FRC. If volume necessitates, records may be retired to FRC prior to the designated time with FRC permission. Transfer to the National Archives 30 years after file break.
- b. Destroy paper after completion of quality assurance.
- c. Retire to FRC upon completion of quality assurance. Transfer to the National Archives 30 years after file break.
- d. Retire one silver and one diazo set to the FRC, along with finding aids and indexes. Transfer to the National Archives 30 years after file break. Retain copies in office until no longer needed, then destroy.
- e. Delete when record copy is generated.

**EPA SERIES NO. 014**

**APPLICATION GUIDANCE:**

**REASONS FOR DISPOSITION:** The site file is historical documentation of the Agency's efforts to remediate hazardous waste sites which may have long-term effects on human health and the environment. Records are used for cost recovery and enforcement support.

**AGENCY-WIDE GUIDANCE:** The Regional unit responsible for managing the remedial process is responsible for managing and implementing the disposition and determining the appropriate milestones for these records in accordance with this schedule. Remedial site file records for Federal Facilities (National Contingency Plan (NCP) 40 CFR 300.5) are the responsibility of the lead agency and copies maintained by EPA may be destroyed when no longer needed.

Reference copies of these files held by all other offices may be destroyed when no longer needed to support current activities.

Records which document the decision-making process are captured in the Administrative Record for the site, scheduled as EPA 019.

These files may contain copies of documents relating to:

- EPA 001 - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 018 - Sampling and Analytical Data Files - Superfund Site Specific
- EPA 020 - Contract Management Records - Superfund Site Specific
- EPA 024 - Cost Recovery Records
- EPA 025 - Enforcement Actions - Superfund Site Specific

Removal site files which do not become part of a remedial action are scheduled as EPA 013. See EPA 049 for the Superfund Document Management System (SDMS).

Microform 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 on site which will simplify making copies.

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:** Construction completion records maintained by OERR's Region 3/8 Center at headquarters are designated as vital records.

**CUSTODIAL INFORMATION:**

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

**Name:**

**Name:**

**Location:**

**Mail Code:**

**Inclusive Dates:**

**Telephone:**

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Volume on Hand (Feet):

Office:

Annual Accumulation:  
(feet or inches)

Room:

**CONTROL INFORMATION:**

**RELATED ITEMS:** EPA 001, EPA 013, EPA 018, EPA 019, EPA 020, EPA 024, EPA 025,  
EPA 049

**PREVIOUSLY APPROVED BY**

**NARA SCHEDULE NOS:** NC1-412-85-10/17, NC1-412-85-18/23

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| Approval<br>Date EPA | Approval<br>Date NARA | Entry<br>Date | Last<br>Modified |
|----------------------|-----------------------|---------------|------------------|
| 4/24/96              |                       | 3/29/91       | 11/15/99         |