

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-412-06-13</i>	
To NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED <i>3-8-2006</i>	
1 FROM (Agency or establishment) U.S 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	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 Constance Downs	5 TELEPHONE 202-566-1640	DATE <i>9/25/07</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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 <u>3</u> 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, <input checked="" type="checkbox"/> is not required, is attached, or has been requested			
DATE <i>2/27/06</i>	SIGNATURE OF AGENCY REPRESENTATIVE Constance Downs <i>[Signature]</i>		TITLE Acting 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7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Grants and Other Program Support Agreements - Superfund Site-Specific	N1-412-94-3/1	

SA 9/24/07 copies sent to Agency, NAWMD, NAWMA, NIR

This schedule is in draft. It may be used to retire records, but may not be used to destroy records. If you have any questions, please contact the Records Help Desk.

EPA Records Schedule 001

Status: Draft, 02/09/2007

Title: Grants and Other Program Support Agreements - Superfund Site-Specific

Program: Superfund

Applicability: Agency-wide

Function: 205 - Federal Financial Assistance

NARA Disposal Authority:

This schedule authorizes the disposition of the record copy in any media (media neutral) Records designated for permanent retention must be transferred to the National Archives in accordance with NARA standards at the time of transfer

- N1-412-06-12

Description:

Includes records that document all types of agreements to which EPA is a party and that support the Superfund program. Specific types of agreements may include interagency agreements, cooperative agreements with federal, state and local government agencies, access agreements, remedial planning and implementation agreements, state Superfund contracts (SSCs), technical assistance grants, Brownfields grants, and other types of agreements which provide for program assistance, support or other sharing of Agency resources and services

Includes supporting documentation - Specific types of records include documentation of significant actions and decisions, applications, pre-award reviews, funding decisions, award documentation, agreement oversight activities, correspondence relating to the agreement, non-compliance/dispute documentation, audit records, and closeout documentation for completed agreements

Excludes Superfund grants and agreements that are not site-specific scheduled as EPA 003 and final products and deliverables scheduled as EPA 258

Disposition Instructions:

Item a: Not needed for cost recovery

- **Disposable**
- Close inactive records immediately after closeout of the agreement
- Destroy 7 years after file closure

Item b: Needed for cost recovery

- **Disposable**
- Close inactive records immediately after closeout of the agreement
- Destroy 30 years after file closure.

Guidance:

Final reports and deliverables are permanent records and scheduled as EPA 258.

Agreement closeout is when the Agency determines all administrative actions and required work at the site is completed (submission of the final expenditure report, SF 269 - Financial Status Report, by the recipient), or when the agreement is terminated or annulled and any disputes settled. Final closeout may consist only of an internal Agency memo.

The following offices and managers are responsible for maintaining a complete record set and for dispositioning documents as designated below

Grants Management Office (Grants Specialist) - Record copy of applications, reviews and amendments related to the application; administrative review checklist, certifications; agreements and any amendments, award documentation, requests for deviations, stop work orders; documentation relating to termination actions, disputes and appeals, annulments and audits, legal opinions; reimbursement requests, payment vouchers; financial status reports; and increases and decreases, correspondence and other related documents

Program Office (Project Officer) - Record copy of documents used for day-to-day technical direction of the grant or interagency agreement such as draft and final products and deliverables; work plans and progress reports; draft documents and comments provided or other records of technical direction. Copies of applications, awards, amendments and other administrative and financial documents. See EPA 183 for Grant and Other Agreement Oversight records

Copies of these records may be filed with the site files for historical purposes or with cost recovery records which are scheduled as EPA 024. See EPA 013 and EPA 014 for Removal Site Files and Remedial Site Files, respectively. All other copies may be destroyed when no longer needed.

Grants and agreements that are being audited, appealed, or in any other kind of legal action can not be destroyed until the case is closed. See EPA 680 for the Grant Appeal File and EPA 183 for Grant and Other Agreement Oversight records

For general Superfund (not site-specific) grants and agreements, and programs other than Superfund, see EPA 003. Contract management records are scheduled as EPA 020 (Superfund), EPA 055, EPA 202, and EPA 258. The Grants Information and Control System (GICS) is scheduled as EPA 575. EPA 009 covers the Integrated Grants Management System (IGMS).

Financial assistance to local governments responding to releases of hazardous substances through the Local Government Reimbursement Program are scheduled as EPA 080. See EPA 084 for Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)

Note Retention of agreement records by the Agency is governed by this schedule. For CERCLA cooperative agreements and Superfund State Contracts recipients of awards must maintain all records for 10 years following submission of the final Financial Status Report unless otherwise directed by the EPA award official, and must obtain written approval from the EPA award official before destroying any records (40 CFR 35.6705).

For CERCLA Technical Assistance Grants, recipients of awards must maintain records generally for three years (40 CFR 35.4105). For other assistance awards, recipients of awards must maintain records generally for three years (40 CFR 30.501 and 31.42). However, in order to ensure that the records are available to EPA when needed for cost recovery and in order to save EPA access costs and the grantee storage costs, it is recommended that all Superfund-related grants be amended to have grantees turn over all records upon grant closeout to the EPA in a format acceptable to the FRC. The records can then be retired directly to the FRC and retrieved when needed for the IG audit or cost recovery or litigation without fear that the grantee has dissolved or has inadvertently disposed of the records. An Agency records liaison officer should be contacted for the latest guidance on preparing records for the FRC. The Corps of Engineers as a federal government entity is exempted from this policy.

Microform copies are to be produced in accordance with standards in 36 CFR 1230.10 and 1230.20.

Specific legal citations include, but are not limited to

- Comprehensive Environmental Response, Compensation and Liability Act of 1980, as amended, Section 101, et seq.
- 40 CFR Part 30, 31 and 35, Subparts M and O

Reasons for Disposition:

Previously approved as N1-412-94-3/1. The disposition instructions have been rewritten as media neutral to allow for maintaining the record copy in EPA's electronic recordkeeping system.

Item c for electronic copies created with word processing and electronic mail applications was deleted on 08/09/2006 pursuant to NARA Bulletin 2006-04.

Custodians:

Multiple units

Related Schedules:

EPA 003, EPA 009, EPA 020, EPA 024, EPA 080, EPA 084, EPA 183, EPA 202, EPA 258, EPA 575, EPA 680

Previous NARA Disposal Authority:

NC174-255/8, NC-412-75-6/1, NC1-412-77-4/1, NC1-412-78-10/6b, NC1-412-84-1/12b, NC1-412-85-7/5, NC1-412-85-10/15, NC1-412-85-18/2 and 24, NC1-412-85-25/5a, b, and d, NC1-412-85-25/6, N1-412-94-3/1

Entry: 03/20/1991

EPA Approval: 02/23/2006

NARA Approval: Pending