

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-412-94-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 09/07/2022

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All other items remain active.

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1a was superseded by N1-412-06-027

Item 2 was superseded by N1-412-07-005

Item 3 was superseded by N1-412-06-012 and N1-412-06-013

Item 4 was superseded by N1-412-06-017

Item 5 was superseded by N1-412-06-018

Item 6 was superseded by N1-412-06-019

Item 15 was superseded by N1-412-07-054 schedule 084

Item 16 was superseded by N1-412-07-054 schedule 085

Item 17 was superseded by N1-412-07-004, item 1

Item 18 was superseded by N1-412-07-054 schedule 087

Item 19 was superseded by N1-412-07-054 schedule 091

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

LEAVE BLANK (NARA use only)

JOB NUMBER

NUMBER
N1-412-94-3

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

Various

3. MINOR SUBDIVISION

5. TELEPHONE

Michael L. Miller, Rec. Off.

202-260-5911

DATE _____

ARCHIVIST OF THE UNITED STATES

1-17-96

John W. Carl

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,

110

is not required;

is attached; or



has been requested.

DATE _____

SIGNATURE OF AGENCY REPRESENTATIVE

TITLE

10/7/93

Michael L. Miller

Agency Records Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

**9. GRS OR
SUPERSEDED
JOB CITATION**

**10. ACTION
TAKEN (NAF
USE ONLY)**

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

Superseded job citations listed on individual items.

**LISTING OF SUPERFUND PROGRAM SCHEDULES
BY
EPA SERIES NUMBER**

EPA DISPOSITION SCHEDULES

Date: 07/29/93

SERIES	APP.	PROGRAM	TITLE	
76	001A	AW	Superfund	Grants and Other Program Support Agreements - Superfund Site Specific
	010R	R	Superfund	Site Assessment
77	012A	AW	Superfund	Federal Agency Hazardous Waste Compliance Site Files
78	013A	AW	Superfund	Removal Site Files - Superfund Site Specific
	014A	AW	Superfund	Remedial Site Files - Superfund Site Specific
	018A	AW	Superfund	Sampling and Analytical Data Files - Superfund Site Specific
	019R	R	Superfund	Administrative Records - Superfund Site Specific
79	020A	AW	Superfund	Contract Management Records - Superfund Site Specific
80	024A	AW	Superfund	Cost Recovery Records
81	025A	AW	Superfund	Enforcement Actions - Superfund Site Specific
82	050A	AW	Superfund	Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS)
83	052A	AW	Superfund	Superfund Cost Recovery Image Processing System (SCRIPS)
84	059A	AW	Superfund	Oil and Hazardous Materials Technical Assistance Data System (OHMTADS)
85	060A	AW	Superfund	Emergency Response Notification System (ERNS)
86	061A	AW	Superfund	Continuous Release Emergency Response Notification System (CR-ERNS)
87	064A	AW	Superfund	CLP Analytical Results Data Base (CARD)
88	065A	AW	Superfund	Sample Tracking and Invoice Payment System (TIP)
89	067A	AW	Superfund	CLP Statistical Data Base (STAT)
90	080H	HQ	Superfund	Local Government Reimbursement Program
90	084A	AW	Superfund	Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)

EPA DISPOSITION SCHEDULES

Date: 07/29/93

	SERIES	APP.	PROGRAM	TITLE
91	085A	AW	Superfund	Administrative Decision Records
92	086A	AW	Superfund	National Contingency Plan (NCP) Product Files
93	087A	AW	Superfund	Claims Against the Fund
94	091A	AW	Superfund	CERCLA Section 103 Notifications

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

EPA DISPOSITION SCHEDULES BY SERIES TITLE

Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Administrative Decision Records	085A	AW	Superfund
Administrative Records - Superfund Site Specific	019R	R	Superfund
Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)	084A	AW	Superfund
CERCLA Section 103 Notifications	091A	AW	Superfund
Claims Against the Fund	087A	AW	Superfund
CLP Analytical Results Data Base (CARD)	064A	AW	Superfund
CLP Statistical Data Base (STAT)	067A	AW	Superfund
Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS)	050A	AW	Superfund
Continuous Release Emergency Response Notification System (CR-ERNS)	061A	AW	Superfund
Contract Management Records - Superfund Site Specific	020A	AW	Superfund
Cost Recovery Records	024A	AW	Superfund
Emergency Response Notification System (ERNS)	060A	AW	Superfund
Enforcement Actions - Superfund Site Specific	025A	AW	Superfund
Federal Agency Hazardous Waste Compliance Site Files	012A	AW	Superfund
Grants and Other Program Support Agreements - Superfund Site Specific	001A	AW	Superfund
Local Government Reimbursement Program	080H	HQ	Superfund
National Contingency Plan (NCP) Product Files	086A	AW	Superfund
Oil and Hazardous Materials Technical Assistance Data System (OHMTADS)	059A	AW	Superfund
Remedial Site Files - Superfund Site Specific	014A	AW	Superfund
Removal Site Files - Superfund Site Specific	013A	AW	Superfund
Sample Tracking and Invoice Payment System (TIP)	065A	AW	Superfund

EPA DISPOSITION SCHEDULES BY SERIES TITLE

Date: 07/29/93

TITLE	SERIES	APP.	PROGRAM
Sampling and Analytical Data Files - Superfund Site Specific	018A	AW	Superfund
Site Assessment	010R	R	Superfund
Superfund Cost Recovery Image Processing . System (SCRIPS)	052A	AW	Superfund

DRAFT OF 12/5/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Grants and Other Program Support Agreements - Superfund Site Specific

PROGRAM: Superfund

EPA SERIES NO: 001A

NARA SCHEDULE NO. N1-412-94-3/1
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes records that document all types of agreements to which EPA is a party and which 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, and other types of agreements which provide for program assistance, support or other sharing of Agency resources and services.

Included are:

a. Final products and deliverables.

b. 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 which are not site specific.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Microfilm, paper, forms,
electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program operations

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

EPA SERIES NO. 001A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Disposable

Yes

FILE BREAK INSTRUCTIONS: Break file immediately after closeout of the agreement.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office at least 1 year after file break, then retire to FRC. If volume necessitates, records may be transferred to FRC (with the approval of the FRC) prior to the time designated in the disposition instructions. Transfer to NARA when 30 years old.

If record copy is in microform, break file upon completion of microform quality assurance check. Retire one silver halide copy and one diazo copy to the FRC along with finding aids and indexes. Transfer to the National Archives 20 years after files are closed. Retain one or more sets for office use. Destroy any Agency microform copies when superseded or no longer needed.

b(1). Records not needed for cost recovery - Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy when 7 years old.

(2). Records needed for cost recovery - Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy when 30 years old.

REASONS FOR DISPOSITION: These records are necessary for litigation and cost recovery support. These records were previously approved for disposal. The retention period has been changed to bring it into line with the retention of other Superfund records which they support.

AGENCY-WIDE GUIDANCE: 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.

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

EPA SERIES NO. 001A

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

Financial assistance to local governments responding to releases of hazardous substances through the Local Government Reimbursement Program are scheduled as EPA 080H. See EPA 084A 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.

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

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 020A, EPA 024A, EPA 080H, EPA 084H, EPA 202A, EPA 258A, EPA 575A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-75-6/1, NC1-412-77-4/1, NC1-412-78-10/6b, NC1-412-85-10/15, NC1-412-85-18/2 and 24, NC1-412-85-25/5a, b, and d.

EPA SERIES NO. 001A

Approval Date EPA	Approval Date NARA	Entry Date 3/20/91	Last Modified 12/5/95
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DRAFT OF 12/5/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Federal Agency Hazardous Waste Compliance Site Files

PROGRAM: Superfund

EPA SERIES NO: 012A

NARA SCHEDULE NO. N1-412-94-3/2

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes site-specific records relating to hazardous waste sites at Federal facilities which have been submitted under RCRA or CERCLA for preliminary assessments. Specific types of records include correspondence, memoranda, meeting notes, work plans, financial and technical progress reports, statements of work and other site-specific contract documentation, Hazardous Ranking System (HRS) packages, National Priorities List (NPL) determination, Preliminary Assessments (PA), Site Assessments (SA), sampling and analysis data, pollution reports (POLREPs), Endangerment Assessments, Risk Assessments, Health and Safety Plans, Remedial Investigations (RI) Reports, Feasibility Study (FS) Reports, Proposed Plans for Selected Remedial Action, and Applicable or Relevant and Appropriate Requirements (ARARs), concurrence memoranda, concurrence reports, Remedial Design and Remedial Action (RD/RA) Reports, Community Relations Plans (CRPs), public meeting notes, RCRA closure and post closure reports, RCRA compliance reports, delisting correspondence, and other related records needed to document the RCRA, CERCLA, or preliminary assessment activities conducted at Federal facility hazardous waste sites.

ARRANGEMENT: Arranged by site and remediation category.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Confidential Business Information
Enforcement Sensitive Information

MEDIUM:

Paper, video/film, photographs
publications, maps and
architectural materials, forms,
electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation, and Liability Act of 1980,
as amended, Section 120, 42 USC 9620
Resource Conservation and Recovery Act, as amended, Section 3016
40 CFR 300

EPA SERIES NO. 012A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Paper (non-microformed and non-imaged): Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Paper (microformed): Disposable

Yes

c. Paper (imaged or magnetic): Permanent

Yes

d. Microform: Permanent

Yes

e. Optical Disk (or other magnetic media): Disposable

No

FILE BREAK INSTRUCTIONS:

a. Break file at issuance of ROD for the site or operable unit and appropriate milestones thereafter.

b-c. Break file upon completion of filming or imaging.

d-e. Break file at completion of quality assurance.

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 the FRC (with FRC approval) prior to the designated time. Transfer to the National Archives 20 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 20 years after file break.

d. Keep in office until issuance of ROD for the site or operable unit and appropriate milestones thereafter, then retire one silver and one diazo to FRC. Transfer to the National Archives 20 years after file break.

e. Delete records when no longer needed..

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: These records were previously approved for disposal. The disposition period has been changed to bring them in line with the retention of other Superfund and RCRA records which they support. The records are necessary to fully document the extent of site contamination and the impact of the cleanup operations.

AGENCY-WIDE GUIDANCE: The Regional unit responsible for managing the Federal facilities process is responsible for managing and implementing the disposition of these records and determining the appropriate milestones in accordance with this schedule. All other copies held within the Agency are reference copies and disposable when no longer needed.

The Federal Facilities Information System (FFIS) is scheduled as EPA 058A. Regional records related to monitoring of Federal facilities are covered in EPA 137R.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

EPA SERIES NO. 012A

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 058A, EPA 137R

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-76-1/I/14, NC1-412-84-1/9, NC1-412-85-18/25

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/27/91	12/5/95

DRAFT OF 12/5/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Removal Records - Superfund Site Specific

PROGRAM: Superfund

EPA SERIES NO: 013A

NARA SCHEDULE NO. N1-412-94-3/3

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Site-specific records relating to emergency, time-critical and non time-critical removal activities conducted by EPA and non-EPA lead (e.g., PRP, State, Federal Facilities, other) entities. Specific types of records include correspondence, memoranda, work plans, quality assurance project plans (QAPPs) financial and technical progress reports, sampling and analysis data, pollution reports (POLREPs) statements of work and other site-specific contract documentation, and CERCLIS Superfund removal records. Also includes removal response files.

Excludes removal action conducted at remedial sites, covered in EPA 014A.

ARRANGEMENT: Arranged by site.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

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

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation and Liability Act of 1980,
as amended, Sections 104 and 106, 42 USCA 9604 and 9606
40 CFR 300

EPA SERIES NO. 013A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Paper (non-microformed)
or Microform: Permanent

TRANSFER TO FRC PERMITTED:

Yes

b. Paper (microformed):
Disposable

No

FILE BREAK INSTRUCTIONS:

a. Break file at end of statute of limitations for initiation of cost recovery or when cost recovery settlement is reached, whichever is later.

b. Break file upon completion of microfilming.

DISPOSITION INSTRUCTIONS:

a. If microformed, retire one silver and one diazo along with finding aids and indexes to FRC immediately after file break. Transfer to National Archives 5 years after file break.

If not microformed, retire paper to FRC immediately after file break. Transfer to the National Archives 5 years after file break.

b. Destroy paper upon completion of quality assurance.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records are required as part of the complete documentation of the removal process. Records are used for cost recovery and enforcement support.

AGENCY-WIDE GUIDANCE: If the removal action becomes part of a remedial action, records are to be reassigned to the remedial site file and the Regional unit responsible for managing the removal process is responsible for maintaining and implementing the disposition in accordance with EPA 014A.

This file may contain copies of documents relating to:

- EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
- EPA 019A - Administrative Records - Superfund Site Specific
- EPA 020A - Contract Management Records - Superfund Site Specific
- EPA 024A - Cost Recovery Records
- EPA 025A - Enforcement Actions - Superfund Site Specific

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

Microform copies are to be produced in accordance with 36 CFR 1230.10 and 1230.20. It is recommended that the unit retain a silver halide 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 witness disposal for records destroyed by contractors.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

EPA SERIES NO. 013A

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 001A, EPA 014A, EPA 018A, EPA 019R, EPA 020A, EPA 024A, EPA 025A

PREVIOUSLY APPROVED BY

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

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		3/29/91	12/5/95

1 TFM
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DRAFT OF 4/27/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Contract Management Records - Superfund Site Specific

PROGRAM: Superfund

EPA SERIES NO: 020A

NARA SCHEDULE NO. Pending

(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains Superfund contract records including all correspondence and related records pertaining to the requests for proposals (RFPs), successful bids and proposals, procurement award and administration, receipt, inspection and payment of any and all contracts, requisitions, purchase orders, leases, and bond and surety agreements to which EPA is party and which are maintained and used by the Agency for contract documentation and for performance and financial monitoring and oversight activities. Includes Regionally-based contracts such as ARCS and ERCS and Headquarters-based contracts such as REM and TES.

Excludes: Superfund contracts which are not site specific, final deliverables, Superfund program support agreements, and unsuccessful bids and proposals which are scheduled separately.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Contracts

SPECIFIC RESTRICTIONS:

Privacy Act

Confidential Business Information

Enforcement Sensitive Information

MEDIUM:

Microform, paper, electronic

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation, and Liability Act of 1980,
as amended, Section 111
40 CFR 300

EPA SERIES NO. 020A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS:

- a. Responsible Contracting Officer - Break file upon termination or expiration of contract.
- b. Project Officer (PO) - Break file upon completion of final invoice for delivery order or work assignment.
- c. Delivery Order Project Officer (DOPO)/Work Assignment Manager (WAM) - Break file upon completion of final invoice for delivery order or work assignment.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records are required as part of the complete records of the Superfund site remediation process and for cost recovery litigation.

AGENCYWIDE GUIDANCE: This series covers oversight of contracts by Headquarters or field offices. Contracts for Superfund which are not site specific and for programs other than Superfund are scheduled as EPA 202A. Final deliverables are scheduled as EPA 258A. For Superfund Program Support Agreements, see EPA 001A, and EPA 003A for programs other than Superfund. Waste Water Construction Grants are scheduled as EPA 232A. Unsuccessful Bids and Proposals are scheduled as EPA 275A. See EPA 084A for Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs). Other Superfund site specific records include:

- EPA 010R - Site Assessment
- EPA 012A - Federal Facilities Hazardous Waste Sites
- EPA 013A - Removal Site Files - Superfund Site Specific
- EPA 014A - Remedial Site Files - Superfund Site Specific
- EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
- EPA 019R - Administrative Records - Superfund Site Specific
- EPA 024A - Cost Recovery Records
- EPA 025A - Enforcement Actions - Superfund Site Specific

Documents held by various offices are described below:

- a. Responsible Contracting Officer - Record copy of RFPs; successful bids and proposals; contract and modifications; financial and payment documents; contract specifications, drawings or manuals incorporated into the contract by reference; project officer and contract monitor designations; notices to proceed, stop work or correct deficiencies; and related documents.
- b. PO - Project Officer is responsible for record copy of performance evaluations, technical and financial progress reports.
- c. DOPO/WAM - Delivery Order Project Officers and Work Assignment Managers are responsible for the record copy of documents used for day-to-day technical direction of the contract. Documents include work plans and schedules, final deliverables submitted by the contractor, comments provided to the contractor, other records of technical direction, contract monitoring logs and communication records, meeting records and notes, evaluation forms, statements of work (SOW) and level of effort (LOE) documents. Final deliverables are permanent records and are covered by EPA 258A.

EPA SERIES NO. 020A

Copies of parts of this series (e.g. statements of work, work plans, etc.) may be retained with the relevant portions of the site file to document site activity, and may be retired according to the applicable accompanying series (e.g., 010R, 013A, 014A). Other offices may maintain reference copies which can be destroyed when no longer needed.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or exempted from disclosure by statute such as the Privacy Act must be shredded with witness disposal.

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 001A, EPA 003A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A, EPA 019R, EPA 024A, EPA 025A, EPA 084A, EPA 202A, EPA 232A, EPA 258A, EPA 275A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-5/4 and 6 174-118/3

Approval Date EPA	Approval Date NARA	Entry Date 5/30/91	Last Modified 4/27/93
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DRAFT OF 12/5/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Cost Recovery Records

PROGRAM: Superfund

EPA SERIES NO: 024A

NARA SCHEDULE NO. N1-412-94-3/5

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Site-specific records relating to activities undertaken to secure response costs from responsible parties at remedial and removal sites. Records used for cost recovery actions include compilations of documentation that describe technical aspects of the response action and cost accounting information necessary to document the costs incurred to implement the response action. Specific types of records include the cost recovery documentation checklist, Software Package for Unique Reports (SPUR), computation schedules supporting Agency indirect costs, categorical cost summaries, contractor cost information, cost reports and invoices, treasury schedules, field expenses, letter reports/Pre-FY86 cost vouchers, payment records, payroll summaries, Federal employee timesheets, travel authorizations and vouchers, work assignments, cost summary package, cost recovery deliverables, closeout memorandum, and the 10 point document. Also includes work performance documents such as work assignments, statements of work, interagency and cooperative agreements, field notes, technical direction documents (TDDs), lab reports, monthly reports, daily activity reports, affidavits and acknowledgements of completion.

ARRANGEMENT: Arranged by site.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Privacy Act
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:

Microfilm, paper, electronic

VITAL RECORD:

Rights and Interests

FUNCTIONS SUPPORTED:

Program operations

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

EPA SERIES NO. 024A

DISPOSITION INFORMATION:FINAL DISPOSITION:TRANSFER TO FRC PERMITTED:

a. Paper (non-imaged):
Disposable

Yes

b. Paper (imaged):
Disposable

Yes

c. Optical disk: Disposable

No

FILE BREAK INSTRUCTIONS:

a. Break file when cost recovery action is completed.

b. Break file upon completion of imaging.

c. Break file at completion of cost recovery or when no longer needed, whichever is later.

DISPOSITION INSTRUCTIONS:

a. Keep inactive materials in office at least 1 year after file break, then retire to FRC. If volume necessitates, records may be retired to the FRC (with FRC approval) prior to the designated time. Destroy 30 years after file break.

b. Retire to FRC upon completion of quality assurance. Destroy 30 years after file break.

c. Purge and recycle disk.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: CERCLA, as amended, provides for the recovery from responsible parties of all response costs incurred by the Federal Government. This series contains the records related to cost recovery as mandated by statute and regulation.

AGENCY-WIDE GUIDANCE: The cost recovery unit is responsible for maintaining the record copy of this series and implementing the process which ensures appropriate documentation is contained in the files and the disposition.

Copies of these documents may be found in other series such as:

EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
EPA 010R - Site Assessment
EPA 012A - Federal Facilities Hazardous Waste Sites
EPA 013A - Removal Site Files - Superfund Site Specific
EPA 014A - Remedial Site Files - Superfund Site Specific
EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
EPA 020A - Contract Management Records - Superfund Site Specific
EPA 025A - Enforcement Actions - Superfund Site Specific

SCRIPS (Superfund Cost Recovery Image Processing System), EPA 052A, is the image processing system being used to facilitate the storage and retrieval of cost documentation. Claims Against the Fund are scheduled as EPA 087A. Records related to the Local Government Reimbursement Program are covered in EPA 080H. See EPA 085A for Administrative Decision Records dealing with potentially responsible parties' petitioning the Fund for reimbursement.

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.

EPA SERIES NO. 024A

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 001A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A,
EPA 020A, EPA 025A, EPA 052A, EPA 080H, EPA 085A, EPA 087A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-27/II/7, NC1-412-85-27/III/6

Approval	Approval	Entry	Last
Date EPA	Date NARA	Date	Modified
		5/30/91	12/5/95

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DRAFT OF 5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Enforcement Actions - Superfund Site Specific

PROGRAM: Superfund

EPA SERIES NO: 025A

NARA SCHEDULE NO. Pending

(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action in accordance with the Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended (CERCLA). Includes such actions as injunctive relief, natural resource damage actions, remedial investigation/feasibility study (RI/FS) special notices, administrative and judicial cost recovery settlements; administrative orders issued under CERCLA §§ 104, 106, and 122; judicial settlements and orders under CERCLA §§ 106, 107, and 122; and federal facility agreements under CERCLA § 120. Specific types of records found in this series include the Department of Justice (DOJ) referral package, attorney work products, case summaries, compliance status documents, discovery, litigation support documents, Consent Decrees, notices, pleadings, State and local enforcement records, subpoenas, witness lists, and 10-point settlement memos.

ARRANGEMENT: Arranged by site.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Privacy Act
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:

Microfilm, paper

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, Sections 104, 106 and 107, 42 USCA 9607
40 CFR 300

EPA SERIES NO. 025A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable except landmark or precedent cases which are permanent as designated by the Regional Administrator

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file upon settlement or closing of case.

DISPOSITION INSTRUCTIONS:

a. No Legal Action Required and Routine Legal Action: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 30 years after file break.

b. Landmark Cases: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Transfer to National Archives when 30 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records required for enforcement and cost recovery support as mandated by statute and regulation.

AGENCYWIDE GUIDANCE: The unit with enforcement authority is responsible for maintaining the record copy and implementing the disposition, including selecting landmark cases for recommendation to the Regional Administrator. Examples of possible landmark cases would be cases which may have the largest award, or the first case of its kind, or some other special distinction.

Copies of these records may be filed in other series. Some may be filed with the site files for historical purposes. See EPA 013A and EPA 014A for Removal Site Files and Remedial Site Files, respectively. All other copies may be destroyed when no longer needed.

Administrative Decision Records are covered in EPA 085A and Claims Against the Fund in EPA 087A. The Sample Management System used to track enforcement action sample data is scheduled as EPA 062A, Lab Automation System (LEAU). Other Superfund site-specific schedules include:

EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
EPA 010A - Site Assessment
EPA 012A - Federal Facilities Hazardous Waste Sites
EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
EPA 019A - Administrative Records
EPA 020A - Contract Management Records - Superfund Site Specific
EPA 024A - Cost Recovery Records

Regional enforcement records for programs other than Superfund are scheduled as EPA 207R.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

CONTACT POINT:

Name:

Name:

Location:

Mail Code:

Inclusive Dates:

Telephone:

EPA SERIES NO. 025A

Volume on Hand (Feet):

Office:

Annual Accumulation:
(feet or inches)

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 001A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A,
EPA 019R, EPA 020A, EPA 024A, EPA 062A, EPA 085A, EPA 087A, EPA 207R

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: ~~NC1-412-85-10/18~~, NC1-412-85-20/5 and 12. NC1-412-82-12/14

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/30/91	5/4/93

EPA Records Schedule 050

Item 7

Status: Final, 02/12/2007

Title: Comprehensive Environmental Response, Compensation and Liability Information System (CERCLIS)

Program: Superfund

Applicability: Agency-wide

Function: 108-024 - Environmental Remediation

NARA Disposal Authority:

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

- N1-412-94-3/7

Description:

The Comprehensive Environmental Response, Compensation and Liability Information System (CERCLIS) supports EPA headquarters and regional offices in the management and oversight of the Superfund program. Its purpose is to maintain an automated inventory of abandoned, inactive, or uncontrolled hazardous waste sites regulated under CERCLA and to act as a vehicle for regional offices to report the status of major stages of site cleanup to headquarters. The system maintains and produces information on all aspects of hazardous waste sites from initial discovery to listing on the National Priorities List (NPL). This includes an inventory of sites, planned and actual site activities, financial information, and audit reports.

Disposition Instructions:

Item a: Electronic software program

- **Disposable**
- Delete when no longer needed to support program mission.

Item b: Input

- **Disposable**
- Follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Permanent**

- Close at the end of each fiscal year when tapes for the fourth quarter report are sent to NTIS.
- Beginning FY 1996, transfer annually to the National Archives as specified in 36 CFR 1228.270 or applicable standards at the time.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: System documentation

- **Permanent**
- Close at the end of each major version change of CERCLIS.
- Transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives. This documentation would be transferred along with the annual transfer of the electronic data (item c) for the fiscal year in which the major version change occurred.

Guidance:

The Information Management Center (IMC) in the Office of Emergency and Remedial Response (OERR), in the Office of Solid Waste and Emergency Response (OSWER) is responsible for implementing the disposition for items a, c and e. Output and reports (item d), filed with other records are retained according to the disposition instructions for the records they support.

Since the electronic data on all site activity is being captured for permanent retention every fiscal year, the deletion of data on NFRAP sites will not involve the destruction of permanent record information on these sites.

Reasons for Disposition:

The system supports various budget and reporting functions for the Superfund program. The electronic data provides an ongoing history of hazardous waste sites as well as information to state and federal agencies managing the cleanup of these sites, which requires preservation for its historical and informational value. CERCLIS was identified by the National Academy of Public Administration as a database NARA would acquire.

Custodians:

Office of Solid Waste and Emergency Response, Office of Emergency and Remedial Response,
Information Management Center

- **Contact:** Patricia Gowland
- **Telephone:** 703-603-8721

Related Schedules:

EPA 171

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 01/17/1996

EPA Records Schedule 052

Status: Final, 02/12/2007

Item 8

Title: Superfund Cost Recovery Package Imaging and On-Line System (SCORPIOS)

Program: Superfund

Applicability: Headquarters

Function: 402-124 - Accounting

NARA Disposal Authority:

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

- N1-412-94-3/8

Description:

SCORPIOS (Superfund Cost Recovery Package Imaging and On-Line System) was formerly known as STARS (Superfund Transaction Automated Retrieval System) and SCRIPS (Superfund Cost Recovery Image Processing System). Through the use of image processing technology, SCORPIOS facilitates the storage and retrieval of all site-specific Superfund cost documentation. Input records include timesheets, travel vouchers, miscellaneous expenditures, contract invoices, IAG payments, and other supporting cost documentation. This application is used to generate the financial documentation for the cost recovery package.

SCORPIOS captures financial documentation images at Regional and field sites (i.e., Washington, Cincinnati, RTP) throughout the country. Initially, all those images were stored centrally at EPA's National Computer Center (NCC) data processing facility. The system has been decentralized into each of the Regions.

Disposition Instructions:

Item a: Electronic software programs

- **Disposable**
- Close when each major version is discontinued and/or when superseded by routine software updates.
- When each major version of SCORPIOS is discontinued, maintain current version on tapes or cartridges for 3 years following NTSD directives and procedures. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

Item b: Input

- **Varies**
- Follow instructions for related records.

Item c: Electronic data

- **Disposable**
- Close when information on whole optical disk is superseded, has been transferred to other storage media, or is no longer necessary for the generation of cost recovery packages.
- Keep optical disk containing electronic data 1 year after closure, then destroy or recycle disks and related indexes.

Item d: Output and reports

- **Varies**
- File with the related records and follow instructions for the related records.

Item e: Supporting documentation

- **Disposable**
- Close when each major version is discontinued.
- Delete when 15 years old.

Guidance:

SCORPIOS is under the control of the Office of the Chief Financial Officer, Office of Financial Management Division, Program Costing Staff. The system manager is directly responsible for implementing the disposition of items a, c, and e. All related input records (item b) are filed with related records and are to be dispositioned according to the instructions for the related records by the offices maintaining these records. Related input records include:

- EPA 001 - Grants and Other Program Support Agreements - Superfund Site Specific
- EPA 020 - Contract Management Records - Superfund Site Specific
- EPA 024 - Cost Recovery Records
- EPA 258 - Final Deliverables from Contractor Studies and Services

Output records (item d) are filed with related records and are dispositioned according to the instructions for the related records by the office maintaining the records. The official copy of all financial documentation output included in the cost recovery package is filed in EPA 024 - Cost Recovery Records under the custodianship of Waste Management Cost Recovery program offices who are responsible for maintenance of this output report. Financial documentation outputs include Project/Site History Reports and Annual Allocation Reports. Copies of these reports held in the following series are to be dispositioned according to the instructions for those records:

- EPA 013 - Removal Site Files - Superfund Site Specific
- EPA 014 - Remedial Site Files - Superfund Site Specific
- EPA 025 - Enforcement Actions - Superfund Site Specific

This system, formerly known as STARS - Superfund Transaction Automated Retrieval System, is not related to the system covered in EPA 196 - Strategic Targeted Activities for Results System - STARS.

Reasons for Disposition:

SCORPIOS is an application used to prepare cost recovery packages used for litigation and cost recovery. The input and output are retained in paper format and maintained for the necessary time periods.

Custodians:

Office of the Chief Financial Officer, Office of Financial Management, Program Costing Staff

- **Contact:** Tommy Brown
- **Telephone:** 202-564-4936

Related Schedules:

EPA 001, EPA 013, EPA 014, EPA 020, EPA 024, EPA 025, EPA 258

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 01/17/1996

ITEM
849

DRAFT OF 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Oil and Hazardous Materials Technical Assistance Data System (OHMTADS)

PROGRAM: Superfund

EPA SERIES NO: 059A

NARA SCHEDULE NO. Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: OHMTADS supports OSWER's response program operations. The data base contains profiles on approximately 1,400 oil and hazardous substances. The profiles provide chemical identification information such as chemical name, manufacturer's name for the chemical (trade name), Chemical Abstract Service (CAS) number; quality assured data on chemical and physical properties (e.g., flashpoint reactions with other substances); uses; and effects on human health and the environment. The system also recommends response procedures for handling and disposing of releases or spills (e.g., methods for evacuation, disposal information, transportation information, protective equipment information). In addition, it contains lists of regulations covering production, use, or distribution of chemicals.

OHMTADS information is made available for commercial distribution in a variety of formats, including ONLINE, diskette, microfilm, magnetic tape, and CD-ROM.

ARRANGEMENT: Arrangements varies.

TYPE OF RECORDS:

Data files, printouts

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Electronic, paper, microfilm, optical

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, Section 104

EPA SERIES NO. 059A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. OHMTADS electronic software programs: Disposable

TRANSFER TO FRC PERMITTED:

No

b. Input: Disposable

No

c. Electronic data: Disposable

No

d. Output and reports

Dependent on related records

e. Supporting documentation: Disposable

Yes

FILE BREAK INSTRUCTIONS:

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

b. Break input systems files according to instructions for EPA 171A - Input/Source Records and all other material according to EPA 008A - Technical Reference Material.

c. Break file when information is submitted to commercial vendors for distribution.

d. File with appropriate case file or related records. Follow file break instructions for related records.

e. Break file when each major version is discontinued.

DISPOSITION INSTRUCTIONS:

a. When each major version of OHMTADS is discontinued, maintain current version on tapes or cartridges for 1 year following procedures required in NNDP's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 1 year, the tapes are to be destroyed by degaussing. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Follow disposition instructions for related records.

c. Upon submittal of each version of OHMTADS for distribution, transfer current data sets to NNDP tapes, along with tape layout, block size, and other tape specifications, according to NNDP policies. Instruct NNDP to hold tapes for 1 year, then destroy data through degaussing.

d. Follow disposition instructions for related records.

e. Keep in office at least 1 year after file break, then retire to FRC in paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: OHMTADS is a collection of scientific and technical data extracted from a wide variety of sources, both commercial and governmental, and is collectively presented in a user-friendly format for Agency and public use.

EPA SERIES NO. 059A

AGENCYWIDE GUIDANCE: OHMTADS is under the control of the Oil Pollution Response and Abatement Branch (OPRAB) of the Emergency Response Division (ERD) in the Office of Emergency and Remedial Response (OERR). OERR/ERD/OPRAB staff is directly responsible for implementing the disposition for items a, b, c, and e. All related output, item d, generated for Agency use will be in the form of print files and reports to be filed in a related case or program file. All output formats generated for commercial distribution are to be considered technical reference and can be destroyed when superseded.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: OHMTADS is updated on a periodic basis as needed.

CUSTODIAL INFORMATION:**CONTROLLING UNIT:****Name:** OERR/ERD/OPRAB**Location:** EPA Headquarters**Inclusive Dates:** 1980 to present**Volume on Hand (Feet):****Annual Accumulation:**
(feet or inches)**CONTACT POINT:****Name:** Richard Norris**Mail Code:** 5202G**Telephone:** 703-603-9053**Office:** OPRAB**Room:****CONTROL INFORMATION:****RELATED ITEMS:** EPA 008A, EPA 171A**PREVIOUSLY APPROVED BY**
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	4/28/93

EPA Records Schedule 060

Item 10

Status: Final, 02/12/2007

Title: Emergency Response Notification System (ERNS)

Program: Superfund

Applicability: Agency-wide

Function: 104-010 - Emergency Response

NARA Disposal Authority:

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

- N1-412-94-3/10

Description:

The Emergency Response Notification System (ERNS) is a national computer database used to store information on releases of oil and hazardous substances. ERNS supports the Emergency Response and the Title III program.

The ERNS program is a cooperative effort among EPA Headquarters, the Department of Transportation (DOT), National Transportation Systems Center (NTSC), the ten EPA Regions, the U.S. Coast Guard (USCG), and the National Response Center (NRC).

ERNS provides the most comprehensive data compiled on release notifications of oil and hazardous substances in the United States. When a release report is submitted to Federal authorities (e.g., NRC or Regional offices), the individual reporting is asked a series of questions regarding the release (e.g., type, location, volume). Information concerning all releases originally reported to the NRC or EPA Regional offices is entered into local computers and transmitted electronically from the NRC or EPA Regional office to the NTSC, where it becomes part of the ERNS national database.

The procedures for maintaining the initial reports differs between the NRC and the EPA Regions. The NRC maintains electronic copies of all spill reports as they were initially received and does not make any changes to spill reports once they have been entered into the system. Reports received by the NRC contain information that may be valuable to the on-scene coordinators, as well as to enforcement personnel. The information received by the NRC is sent to the Regional offices through the Volpe National Transportation Systems Center (VNTSC). Since these reports may be used in enforcement actions, it is necessary to maintain a copy of the spill report as it was originally reported.

Each EPA Region maintains its own Region-specific database, which is a subset of the national data base. Initial spill reports made directly to an EPA Region are maintained as hard copies and kept in the individual Regional office. When additional information on a release notification is obtained, it is also entered at the Regional level and electronically transmitted to the national system. An initial and modified

copy of each report is maintained at VNTSC to preserve data integrity.

Disposition Instructions:

Item a: Electronic software programs

- **Disposable**
- Delete when discontinued or superseded by routine program updates.

Item b: Input

- **Varies**
- Follow instructions for EPA 091 - CERCLA 103 Notifications.

Item c: Electronic data

- **Disposable**
- Transfer current data sets to tapes, along with tape layout, block size, and other tape specifications, according to established procedures at end of fiscal year. Current data sets include a consolidation of all ERNS initial input data captured in the monthly backups performed by Regional central computer centers along with the input received from NRC. Instruct NTSD to hold tapes for 30 years, then destroy data through degaussing.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Disposable**
- Destroy when 15 years old.

Guidance:

ERNS is under the control of the Oil Program Center (OPC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/OPC staff are directly responsible for implementing the disposition according to items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091 - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems and ad hoc reports according to the instructions in items b and d.

Output systems containing initial data being transferred from the EPA Regional offices to the NRC are not covered by item d of this series. This initial electronic data is captured by each Regional computer center as part of their routine monthly backups. At the end of each fiscal year, the ERNS data files from each monthly backup are to be consolidated and transferred to NDPD tapes and dispositioned according to item c. This process is necessary to capture the initial input of data which may be necessary for verification of the time and date of the initial notification.

Ad hoc output reports held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175 - Print Files.

Records containing any sensitive information must be shredded or otherwise definitively destroyed to protect confidentiality.

Reasons for Disposition:

ERNS tracks initially invalidated data, at a high level. It is used primarily as a preliminary tool to identify potentially hazardous situations and serves as a mechanism to document and verify incident-location information. Initial input by Regional offices is needed for litigation support. In addition, ERNS is used to review trends in material spills and releases. Initial and updated information is used as a basis for reporting and analyzing trends.

Custodians:

Office of Solid Waste and Emergency Response, Office of Emergency and Remedial Response, Oil Program Center

- **Contact:** Dana Stalcup
- **Telephone:** 703-603-8735

Related Schedules:

EPA 056, EPA 061, EPA 091, EPA 175

Previous NARA Disposal Authority:

Entry: 05/30/1992

EPA Approval: 10/07/1993

NARA Approval: 01/17/1996

EPA Records Schedule 061

Status: Final, 02/12/2007

Item 4

Title: Continuous Release Emergency Response Notification System (CR-ERNS)

Program: Superfund

Applicability: Agency-wide

Function: 104-010 - Emergency Response

NARA Disposal Authority:

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

- N1-412-94-3/11

Description:

CR-ERNS is an information system that serves as the central depository for all continuous release information received by the EPA Regions. The national data base is housed at the Transportation Systems Center (TSC) in Cambridge, Massachusetts. CR-ERNS is currently installed in all ten EPA Regions. The system is specifically designed to help EPA Regional personnel manage continuous release information and establish priorities with respect to the review and evaluation of continuous release reports. The kinds of information collected include the source of the continuous release, the environmental medium affected, certain ecological and population density information, and a brief statement describing the basis for asserting that the release is continuous and stable in quantity and rate.

A key feature contained in each Regional system is a screening level risk assessment model, called the Priority Assessment Model (PAM). PAM assists Regional personnel in the evaluation of the long-term (i.e., chronic) threat posed by a continuous release. CR-ERNS supports the Emergency Response Program.

Disposition Instructions:

Item a: CR-ERNS electronic software program

- **Disposable**
- Delete when superseded by routine program updates.

Item b: Input

- **Varies**
- Follow instructions for EPA 091 - CERCLA 103 Notifications.

Item c: Electronic data

- **Permanent**
- Transfer data to the National Archives in 1996, as specified in 36 CFR 1228.270 or standards applicable at the time. Thereafter, transfer each major version change the year when the version is superseded or discontinued.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Permanent**
- Transfer to the National Archives in 1996 as specified in 36 CFR 1228.270 or standards applicable at the time. Subsequent transfer of documentation occurs with the transfer of the electronic data (item c) the year when the version is superseded or discontinued.

Guidance:

CR-ERNS is under the control of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR staff are directly responsible for implementing the disposition according to series items a, c, and e.

All paper copies of initial input records, under item b, held or produced in EPA Regional Hazardous Waste Management offices should be dispositioned according to the instructions for EPA 091 - CERCLA 103 Notifications. These Regional offices are also responsible for the disposition of all input and output systems according to the instructions in items b and d. All ad hoc output records held or produced in all appropriate offices should be handled according to disposition instructions outlined in series item d or, where appropriate, EPA 175 - Print Files.

Reasons for Disposition:

Records must be kept to support litigation and regulatory activities. Hard copies of input records must be kept for the narrative element as well as certification purposes.

Custodians:

Office of Solid Waste and Emergency Response, Regions 4/10 Accelerated Response Center

- **Contact:** Lynn Beasley
- **Telephone:** 703-603-9086

Related Schedules:

EPA 056, EPA 060, EPA 091, EPA 175

Previous NARA Disposal Authority:

Entry: 05/30/1992

EPA Approval: 10/07/1993

NARA Approval: 01/17/1996

EPA Records Schedule 064

Item 12

Status: Final, 02/12/2007

Title: CLP Analytical Results Data Base (CARD)

Program: Superfund

Applicability: Agency-wide

Function: 108-024-01 - Site and Area Evaluation and Cleanup

NARA Disposal Authority:

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

- N1-412-94-3/12

Description:

CARD tracks and monitors Contract Laboratory Program (CLP) analytical services as reported by CLP laboratories. The system provides inspections of deliverables from laboratory contractors (contract compliance screening - CCS), supports methods and QA requirements development, and serves as a comprehensive data base of results (e.g., QA/QC result studies). It also includes analytical analyses such as identification and concentration values for each hazardous substance found in each sample taken at Superfund sites, pertinent physical descriptions such as sample matrix and weight or volume, and trend analysis for methods development and refinement. Currently, the data base is being expanded to include similar information from new services such as Low Concentration Organic and Inorganic and Quick Turnaround Method (QTM) analyses. System discontinued in 1999.

Disposition Instructions:

Item a: Electronic software programs

- **Disposable**
- Delete when superseded by routine software updates.

Item b: Input

- **Varies**
- Follow instructions for the related records. For input systems, follow disposition instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Permanent**
- In 1996, transfer to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time. Thereafter, transfer each major version change the year when the version is superseded or discontinued.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Permanent**
- In 1996, transfer those records necessary to document how the system captures, manipulates, and outputs data to the National Archives as specified in 36 CFR 1228.270 or standards applicable at the time. Subsequent transfer of documentation will occur with the transfer of the electronic data (item c) the year when the version is superseded or discontinued.

Guidance:

CARD is under the control of the Analytical Operations Center (AOC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/AOC staff are directly responsible for implementing the disposition according to series items a, c, and e.

Analytical data input, under item b, and output, under item d, are contained in the related record series EPA 018 - Sampling and Analytical Data Files - Superfund Site-Specific. Analytical data input includes contract deliverables of the sampling data. All are permanent records.

Contract management data input, under item b, and output, under item d, are contained in the related record series EPA 024 - Cost Recovery Records or EPA 020 - Contract Management Records - Superfund Site-Specific, which have a 30-year retention value following the file break.

Ad hoc reports and routine printouts (not part of EPA 018, EPA 024, or EPA 020) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175 - Print Files.

CARD incorporates data formerly held in Contract Laboratory Program Quality Assurance (CLPQA).

Reasons for Disposition:

CARD is EPA's major vehicle for obtaining chemical analyses from Superfund sites as well as providing oversight of CLP laboratories by Regional and Headquarters personnel. The analytical data contained in CARD was previously scheduled as part of NC1-412-85-18/23. The disposition of the data, as held in the paper input, paper output, and electronic data, is unchanged. CARD also holds contract monitoring data, previously included as part of NC1-412-85-27/III/6, which is used for Superfund cost recovery.

Custodians:

Office of Solid Waste and Emergency Response, Analytical Operations and Data Quality Center

- **Contact:** David S. Eng
- **Telephone:** 703-603-8827

Related Schedules:

EPA 013, EPA 014, EPA 018, EPA 020, EPA 024, EPA 065, EPA 171, EPA 175

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 01/17/1996

EPA Records Schedule 065

Status: Final, 02/12/2007

Item 13

Title: Sample Tracking and Invoice Payment System (TIP)

Program: Superfund

Applicability: Agency-wide

Function: 108-024-01 - Site and Area Evaluation and Cleanup

NARA Disposal Authority:

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

- N1-412-94-3/13

Description:

The Sample Tracking and Invoice Payment system (TIP) tracks samples ordered for analysis by Contract Laboratory Program (CLP) laboratories. Tracking includes the initial order by Regional sample control coordinators, shipment by sampling teams, receipt by laboratories and submission of results by EPA. Following receipt of the results, the system records and supports payment recommendations on individual invoices. The Analytical Operations Center (AOC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER) receives summary reports of TIP's activities.

Disposition Instructions:

Item a: Electronic software programs

- **Disposable**
- Delete after routine software updates.

Item b: Input

- **Varies**
- Follow instructions for related records. For input systems, follow instructions for EPA 171 - Input and Source Records.

Item c: Electronic data

- **Disposable**

- Close at end of each major version change.
- Transfer current data sets to tapes, along with tape layout, block size, and other tape specifications, according to NTSD directives and procedures. Instruct NTSD to hold tapes for 30 years, then delete.

Item d: Output and reports

- **Varies**
- File with related records and follow instructions for the related records.

Item e: Supporting documentation

- **Disposable**
- Destroy when 15 years old.

Guidance:

TIP is under the control of the Analytical Operations Center (AOC) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/AOC staff are directly responsible for implementing the disposition of items a, c, and e.

Contract management data input, under item b, and output, under item d are officially contained in the related record series EPA 024 - Cost Recovery Records or EPA 020 - Contract Management Records - Superfund Site-Specific, which have a 30-year retention value following the file break. Copies of invoices, traffic reports, and sample summaries may be included in EPA 013 - Removal Site Files - Superfund Site-Specific and EPA 014 - Remedial Site Files - Superfund Site-Specific and would be dispositioned according to the instructions for those records series.

Ad hoc reports and routine printouts (not part of EPA 020, EPA 024, or EPA 018) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 175 - Print Files.

Reasons for Disposition:

TIP data is used for cost recovery support, audit purposes, and for support of site remediation work assignments. This data was previously included as part of NC1-412-85-27/III/6 which is used for Superfund cost recovery.

Custodians:

Office of Solid Waste and Emergency Response, AOC

- **Contact:** David S. Eng
- **Telephone:** 703-603-8827

Related Schedules:

EPA 013, EPA 014, EPA 018, EPA 020, EPA 024, EPA 064, EPA 067

Previous NARA Disposal Authority:

Entry: 05/14/1992

EPA Approval: 10/07/1993

NARA Approval: 01/17/1996

ITEM
8914

DRAFT OF 5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CLP Statistical Data Base (STAT)

PROGRAM: Superfund

EPA SERIES NO: 067A

NARA SCHEDULE NO. Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: The STAT contains a random sample of the laboratory results produced by the Contract Laboratory Program (CLP). It supports the statistical analysis of occurrence and concentration of priority pollutants and hazardous substances at Superfund sites. Although the Analytical Results Data Base (CARD) now provides a more complete data base of results, this data base will continue to be supported to provide historical results analysis for data prior to the operation of CARD. Thus the two data bases together will support statistical analysis of laboratory results for the entire length of the CERCLA Program.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Data files, reports, ad hoc queries

SPECIFIC RESTRICTIONS:

None

MEDIUM:

Electronic, paper

VITAL RECORD:

No

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended

EPA SERIES NO. 067A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. STAT electronic software programs: Disposable

b. Input

c. Electronic data: Disposable

d. Output and reports

e. Supporting documentation: Disposable

TRANSFER TO FRC PERMITTED:

No

Dependent on related records

No

Dependent on related records

Yes

FILE BREAK INSTRUCTIONS:

a. Break STAT when each major version is discontinued and/or when superseded by routine software updates.

b. Break file according to instructions for related records. Break input systems according to instructions for EPA 171A - Input/Source Records.

c. Break file when each major version of STAT is discontinued.

d. File with appropriate case file or related records. Follow file break instructions for related records.

e. Break file when each major version of STAT is discontinued.

DISPOSITION INSTRUCTIONS:

a. For each major version change of STAT, maintain current version on tapes or cartridges for 3 years following procedures required in NNDP's Operational Policies Manual, Sections #200.01 and #200.02 on archiving data sets and records management. After 3 years, the tapes are to be destroyed by degaussing. For any routine software updates, delete software after quality assurance check is performed.

b. Follow disposition instructions for related records. For input systems, follow disposition instructions for EPA 171A - Input/Source Records.

c. Transfer current data sets to EPA 064A - CLP Analytical Results Database (CARD) tapes.

d. Follow disposition instructions for related records.

e. Keep in office at least 1 year after file break, then retire to FRC in paper form or on magnetic floppy disk those records necessary to document how the system captures, manipulates, and outputs data. Supporting documentation can include the software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: STAT is a support system to the CLP Analytical Results Database (CARD). All data in CLPQA is being transferred to STAT.

AGENCYWIDE GUIDANCE: STAT is under the control of the Analytical Operations Branch (AOB) of the Hazardous Site Evaluation Division (HSED) of the Office of Emergency and Remedial Response (OERR). OERR/HSED/AOB staff is directly responsible for implementing the disposition instructions for items a, c, and e.

EPA SERIES NO. 067A

Analytical data input, under item b, and output, under item d, are contained in the related record series EPA 018A, - Sampling and Analytical Data Files - Superfund Site Specific. Analytical data input includes contract deliverables of the sampling data. All are permanent records.

Contract management data input, under item b, and output, under item d, are contained in the related record series EPA 024A - Cost Recovery Records, or EPA 020A - Contract Management Records - Superfund Site Specific, which have a 30-year retention value following the file break.

Ad hoc reports and routine printouts (not part of EPA 018A, EPA 020A, or EPA 024A) filed in a related file should be dispositioned according to the instructions for the related file or, when not filed elsewhere, dispositioned according to EPA 171A - Print Files.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:**CUSTODIAL INFORMATION:****CONTROLLING UNIT:****Name:** OERR/HSED/AOB**Location:** EPA Headquarters**Inclusive Dates:****Volume on Hand (Feet):****Annual Accumulation:**
(feet or inches)**CONTACT POINT:****Name:** David S. Eng**Mail Code:** 5204G**Telephone:** 703-603-8827**Office:** AOB**Room:****CONTROL INFORMATION:****RELATED ITEMS:** EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 064A**PREVIOUSLY APPROVED BY**
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/14/92	5/4/93

EPA SERIES NO. 084A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Case-Specific Decisions on Indemnification Requests from States for Response Action Contractors (RACs)

PROGRAM: Superfund

EPA SERIES NO: 084A

NARA SCHEDULE NO. N1-412-94-3/15
(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: In contracts or agreements with an indemnification clause, States or potentially responsible parties (PRPs) make a request regarding indemnification of site-specific design and cleanup from EPA Headquarters (HQ). Based on review, EPA HQ issues a decision document granting approval to purchase private insurance or providing for Federal indemnification for the State or contractor. This series includes the request, background materials including relevant portions of the agreement or contract containing the indemnification clause, and the decision document regarding Federal indemnification.

There are two types of indemnifications:

- a. ~~Indemnifications relating to new contracts under the Agency's January 25, 1993 Final Indemnification Guidelines~~ which are subject to a specified time limit;
- b. ~~Indemnifications executed prior to the January 25, 1993 guidelines~~ which are not subject to a specified time limit.

ARRANGEMENT:

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:

MEDIUM:
Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,
as amended, Section 119(c)

EPA SERIES NO. 084A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

a. Disposable

TRANSFER TO FRC PERMITTED:

Yes

b. Permanent

Yes

FILE BREAK INSTRUCTIONS: Break file after the closeout of the response action contract.

DISPOSITION INSTRUCTIONS:

a. Retire to FRC immediately after file break. Destroy when 30 years old.

b. Transfer inactive materials to the appropriate Superfund site file. Follow disposition instructions as detailed in EPA 013A - Removal Records - Superfund Site Specific, or EPA 014A - Remedial Site Files - Superfund Site Specific.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Indemnifications granted prior to the Agency's January 25, 1993 guidelines require permanent retention since indemnifications granted prior to that time have no time limit. Term limits of indemnifications granted after January 25, 1993 vary and may extend beyond the life of the contract. Retaining these indemnifications for 30 years will ensure all actions or issues are resolved prior to disposal.

AGENCY-WIDE GUIDANCE: The portion of the agreement or contract containing the indemnification clause should be retained with the decision document and other related materials.

Superfund site specific contracts are scheduled as EPA 020A. Contracts which are not site specific and or for programs other than Superfund are covered in EPA 202A.

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 013A, EPA 014A, EPA 020A, EPA 202A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/2/92	5/24/95

1 TFM
5/16

DRAFT OF 4/27/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Administrative Decision Records

PROGRAM: Superfund

EPA SERIES NO: 085A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: CERCLA 106(b) allows potentially responsible parties (PRPs) to petition the Fund for reimbursement of reasonable costs of response actions if they can prove they were not liable for the response costs or they can demonstrate, on the administrative record, the response action ordered was arbitrary and capricious or otherwise not in accordance with the law. These records include 106(b) petitions, correspondence with the petitioner and the Region, the Preliminary Decision Document, comments by the petitioner and the Region on the preliminary decision, the Final Decision Document, and other relevant documentation.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:
Paper, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:
Enforcement and cost recovery activities

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,
as amended, Sections 101, 106(b), and 107

EPA SERIES NO. 085A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file when final decision has been issued or when settlement is completed.

DISPOSITION INSTRUCTIONS: Retain inactive materials in office at least 1 year after file break, then retire to FRC. Destroy 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records required for litigation and cost recovery support.

AGENCYWIDE GUIDANCE: Related Superfund site-specific records are covered in the following items:

EPA 001A - Grants and Other Program Support Agreements - Superfund Site Specific
EPA 010R - Site Assessment
EPA 012A - Federal Facilities Hazardous Waste Sites
EPA 013A - Removal Site Files - Superfund Site Specific
EPA 014A - Remedial Site Files - Superfund Site Specific
EPA 018A - Sampling and Analytical Data Files - Superfund Site Specific
EPA 019A - Administrative Records - Superfund Site Specific
EPA 020A - Contract Management Records - Superfund Site Specific
EPA 024A - Cost Recovery Records
EPA 025A - Enforcement Actions - Superfund Site Specific

Local Government Reimbursement Program records are scheduled as EPA 080H and Claims Against the Fund as EPA 087A.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or exempted from disclosure by statute such as the Privacy Act must be shredded with witness disposal.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: EAS

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name: Fred Zimmerman

Mail Code: OS-510

Telephone: 202-260-3656

Office: OSWER/CWPE/CED/GEB/EAS

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 001A, EPA 010R, EPA 012A, EPA 013A, EPA 014A, EPA 018A, EPA 020A, EPA 024A, EPA 025A, EPA 080H, EPA 087A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: NC1-412-85-10/19 NC1-412-82-12/15

EPA SERIES NO. 085A

Approval Date EPA	Approval Date NARA	Entry Date 7/16/92	Last Modified 4/27/93
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ITEM
9517

DRAFT OF 4/27/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: National Contingency Plan (NCP) Product Files

PROGRAM: Superfund

EPA SERIES NO: 086A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: The NCP requires EPA to maintain an NCP Product Schedule of dispersants and other chemical or biological products that may be authorized for use on oil discharges. Applicants who wish to list their product must submit the appropriate technical product data to EPA in accordance with 40 CFR 300, Subpart J. Records associated with NCP product files include the NCP Product Schedule and associated data base, vendor applications, interim correspondence, telephone notes, Agency and contractor review documentation, correspondence, Technical Bulletins, and associated records.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Data file, Correspondence,
Reports, Lists

SPECIFIC RESTRICTIONS:
Confidential Business Information

MEDIUM:
Paper, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Oil Pollution Act of 1990
40 CFR 300, Subpart J

EPA SERIES NO. 086A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file when superseded or obsolete.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 3 years after file break, then retire to FRC. Destroy 10 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records provide ongoing support and reference for oil on water spills. These records are not permanent at this time because no formal approval process or decision element by the Agency is in place. The Agency is currently accepting applications and product information only.

AGENCYWIDE GUIDANCE: Reference copies of the NCP Product Schedule and Technical Bulletins held in the Regions are disposable when no longer needed.

As required by 36 CFR 1228.58, records with special restrictions such as confidential business information (CBI) or exempted from disclosure by statute such as the Privacy Act must be shredded with witness disposal.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CREATING UNIT:

Name: OPRAS

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name: Gail Thomas

Mail Code: 5202-G

Telephone: 703-603-8736

Office: OSWER/OERR/ERD/RSCB/OPRAS

Room: 13337

CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date 7/15/92	Last Modified 4/27/93
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ITEM
73-18

DRAFT OF 5/5/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Claims Against the Fund

PROGRAM: Superfund

EPA SERIES NO: 087A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: This series contains records used to document the decisions made by Headquarters and Regional personnel concerning claims against the Fund under various sections of CERCLA. Includes a copy of the official response claim, documentation of action to settle the claim, a copy of the agreement of the final settlement of the claim, and other related records.

This series also includes claims filed against the Fund under mixed funding agreements (preauthorization, cashouts, mixed work). Records particular to mixed funding agreements include the application, and a preauthorization decision document, and claims filed periodically against the Fund.

ARRANGEMENT: Arranged by site.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:

MEDIUM:
Paper, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:
Enforcement and cost recovery activities

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation, and Liability Act of 1980,
as amended, Sections 111, 112, and 122

EPA SERIES NO. 087A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED: ☒
Yes

FILE BREAK INSTRUCTIONS: Break file upon settlement of claim.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: The applicability of this series has been extended providing Agencywide coverage. The retention has been extended to parallel other functions (cost recovery and enforcement) which the records support.

AGENCYWIDE GUIDANCE: Cost Recovery Records are scheduled as EPA 024A. See EPA 025A for Enforcement Actions - Superfund Site Specific. Administrative Decision Records are covered in EPA 085A.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: SLCB

Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name: Denise Ergener

Mail Code: OS-220W

Telephone: 202-308-8339

Office: OSWER/OERR/HSCD/SLCB

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 024A, EPA 025A, EPA 085A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS: -NE1-412-85-10/19, NC1-412-85-18/26 NC1-412-82-12/15

Approval Date EPA	Approval Date NARA	Entry Date 5/25/92	Last Modified 5/5/93
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EPA SERIES NO. 091A

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: CERCLA Section 103 Notifications

PROGRAM: Superfund

EPA SERIES NO: 091A

NARA SCHEDULE NO. N1-412-94-3/19

(Use this number to retire records to the FRC)

APPLICABILITY: Agency-wide

IDENTIFYING INFORMATION:

DESCRIPTION: Under CERCLA, the Comprehensive Environmental Response, Compensation, and Liability Act, Section 103 requires the notification of any spill or other release of a hazardous substance that equals or exceeds a reportable quantity (RQ). There are three types of reporting requirements under CERCLA: CERCLA 103(a) for actual releases, including spills, of hazardous substances; CERCLA 103(c) for facilities where hazardous wastes have been disposed of and where such releases might occur; and CERCLA 103(f)(2) for releases that are continuous and stable in quantity and rate. May also include petroleum products as well as non-hazardous reported releases.

Documents include records of communication recording the immediate notification to the EPA or National Response Center by phone; EPA Form, Notification of Hazardous Waste Site; initial written report for continuous releases citing the location and/or facility, the amount(s) and type(s) of the hazardous substance or waste, and location layout; and written follow-up report.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Confidential Business Information
Enforcement Sensitive Information

MEDIUM:

Papers, forms, electronic

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program operations

SPECIFIC LEGAL REQUIREMENTS:

Comprehensive Environmental Response, Compensation, and Liability Act, Section 103

Title III of Superfund Amendments and Reauthorization Act (Emergency Planning and Community Right-to-Know Act), Section 304

Oil Pollution Act of 1990

40 CFR 302

EPA SERIES NO. 091A

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Permanent

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep in office for at least 1 year following file break, then retire to FRC. Transfer to the National Archives 30 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: CERCLA 103 notifications form the basis for several Superfund activities including the creation of the National Priorities List from the 103(c) one-time notifications and may be required as part of the complete record of the Superfund site removal and remediation process as well as for cost recovery support and enforcement.

AGENCY-WIDE GUIDANCE: CERCLA 103 notifications are the responsibility of the appropriate Regional offices receiving the initial notification or receiving the written follow-up report.

The Accidental Release Information Program (ARIP) is scheduled as EPA 056A. See EPA 060A for the Emergency Response Notification System (ERNS) and EPA 061A for the Continuous Release Emergency Response Notification System (CR-ERNS).

As required by 32 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 056A, EPA 060A, EPA 061A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/29/93	7/26/95

DRAFT OF 7/13/95

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Trade Secret Files Under Emergency Planning and Community Right-To-Know Act for Sections 303, 311 and 312

PROGRAM: Superfund

EPA SERIES NO: 048H

NARA SCHEDULE NO. N1-412-94-3/20
(Use this number to retire records to the FRC)

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:

DESCRIPTION: Contains documents relating to the requirement for submission of information to State and local governments on the presence, inventory and storage of chemical substances by facilities under Sections 303, 311 and 312 of the Superfund Amendments and Reauthorization Act of 1986. Information collected includes trade secret claims submitted to EPA under Section 322 of SARA Title III and includes information collected relating to the accuracy of a claim of trade secret for the identity of substances reported under Sections 303, 311 and 312. Includes chemical identity, substantiation of trade secret eligibility, and other information on the chemical for which trade secret protection is being claimed.

ARRANGEMENT: Arranged by batch number.

TYPE OF RECORDS:

Case files

SPECIFIC RESTRICTIONS:

Confidential Business Information

MEDIUM:

Paper

VITAL RECORD:

FUNCTIONS SUPPORTED:

Program oversight

SPECIFIC LEGAL REQUIREMENTS:

SARA Title III - Emergency Planning and Community Right-To-Know Act, Sections 303, 311 and 312
40 CFR 372

EPA SERIES NO. 048H

DISPOSITION INFORMATION:

FINAL DISPOSITION:

Disposable

TRANSFER TO FRC PERMITTED:

Yes

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy 20 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records provide essential documentation of EPA's statutory and regulatory responsibilities.

AGENCY-WIDE GUIDANCE: The records of this series are maintained by CEPPQ in OSWER at Headquarters.

See EPA 224A for EPCRA records kept by other headquarters and regional programs. Toxic Substances Facility Files are covered in EPA 227R and files related to State Oversight in EPA 203A. The EPCRA Targeting System (ETS) is scheduled as EPA 266A and the Toxic Substances Release System (TRIS) as EPA 272A.

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: Records received in the office are for the preceeding calendar year. Retire files in sealed boxes. Retrieve only whole boxes. Access is limited to EPA employees or authorized EPA contractors.

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: CEPPQ

Location: WSM

Inclusive Dates: 1987-

Volume on Hand (Feet): 36 cu. ft. Office: OSWER

Annual Accumulation: 5 cu. ft. Room: 3606
(feet or inches)

CONTACT POINT:

Name: Dorothy McManus

Mail Code: 5101

Telephone: 202-260-8606

CONTROL INFORMATION:

RELATED ITEMS: EPA 203A, EPA 224A, EPA 227R, EPA 266A, EPA 272A

PREVIOUSLY APPROVED BY

NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		2/5/95	7/13/95