United States
Environmental Protection
Agency

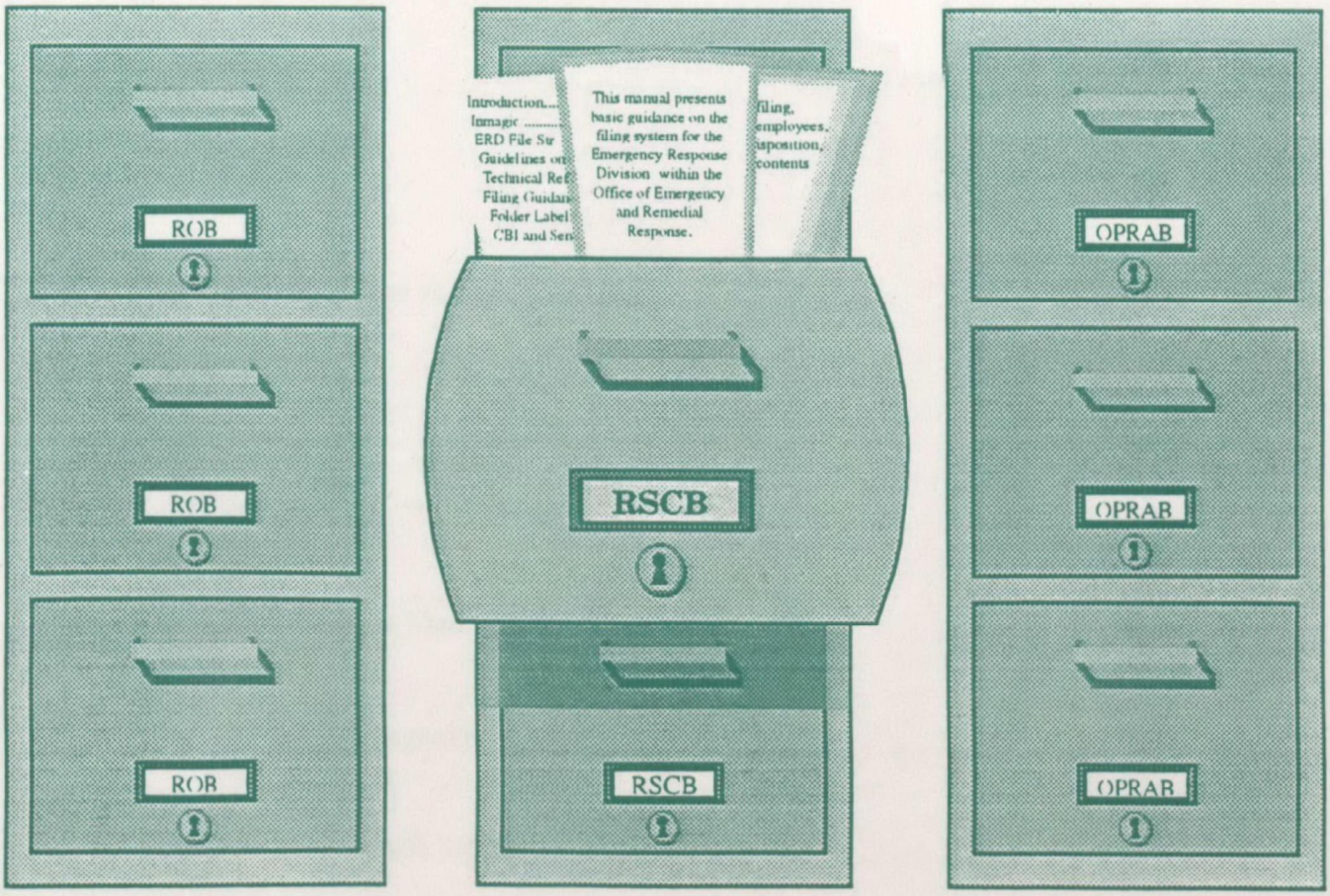
Office of
Solid Waste and
Emergency Response
Washington, DC 20460

Publication 9360.6-11
June 1993

Superfund

Emergency Response Division

File Guidance Manual



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The file structure and procedures presented in this manual are part of a pilot program within the Office of Solid Waste and Emergency Response (OSWER) to implement structured records management practices throughout the Superfund program. An Office of Emergency and Remedial Response (OERR) Records Management Program was established in 1992. The accompanying letter from Henry L. Longest II provided the impetus for this program. (See OERR Directive 9204.1-01 on the following pages.) The Emergency Response Division (ERD) represents the first functional application of these principles, which have been developed by OSWER and EPA's National Records Management Program (NRMP).

EPA's current records schedules are undergoing major revisions. Changes in the schedules will necessitate changes to the procedures and guidelines discussed in this manual. The recent evaluation of EPA records management practices by the National Archives and Records Administration (NARA) may also have an effect on this manual as well as on the Agency's developing records management principles in general.

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
SOLID WASTE AND EMERGENCY RESPONSE

APR 20 1992

OERR DIRECTIVE 9204.1-01

MEMORANDUM

SUBJECT: Establishment of OERR Records Management Program

FROM: Henry L. Longest II, Director
Office of Emergency and Remedial Response

TO: OERR Division Directors and Supervisors

PURPOSE. This directive establishes a formal structure for building a consistent, efficient and legally defensible records management program for OERR.

BACKGROUND. Establishment of these programs in Regional Superfund Offices is virtually complete. We have been requested now to replicate this effort in Washington. Although OERR has participated in regular clean-up days and has generally archived records in accordance with agency policy, a formal structure to ensure cross-Division consistency has never been established. The move to Crystal Gateway, with its limited file space, provides an outstanding opportunity to solve this problem permanently.

OBJECTIVE. Cooperative development of an OERR Records Management Program, under senior management sponsorship, will enable OERR to examine records retention needs and legal responsibilities, understand procedures for retention and disposition, and appropriately track and archive our records. Centralized knowledge, coordinated by Division representatives, and managed as part of the Superfund Documents Program, will ultimately save time for technical and professional staff. Records reduction before the move will simplify relocation logistics and better utilize space in the new quarters.

IMPLEMENTATION. A work group chaired by Betti VanEpps and initially consisting of the Divisions' Special Assistants will manage this project. Their first task is to develop a records management strategy, with immediate attention to issues raised by the move. As the work proceeds, Divisions should expect to identify other participants with specialized knowledge, who should participate as appropriate. Lisa Jenkins, OSWER Records

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Management Officer, will participate on this work group to bring us the benefit of experience and knowledge gained in the Regional effort.

Ultimately, an OERR policy directive will be issued which describes the final program and responsibilities for its maintenance.

I have asked Steve Luftig to serve as ex-officio participant on this project to provide the senior management support which will ensure success.

cc: Steve Luftig
OERR Staff
Lisa Jenkins

WHY RECORDS MANAGEMENT?

* SAVE STAFF TIME
* SAVE FILING SPACE
* CREATE MORE WORK SPACE

Information is a resource and has value. It must be managed like any other resource. Traditional management techniques of planning, controlling, directing, organizing, communicating, etc., need to be applied to the management of the Agency's records in the same way as to other program initiatives. In fact, records management has become a top priority at EPA.

Effective records management practices save scarce Agency resources and ensure the timely availability of information to program staff. A complete records management program also includes procedures for the proper and efficient disposition of inactive records which removes records that are no longer needed, on a scheduled basis. This in turn reduces storage requirements and provides more work and filing space for current, active records.

Following the guidelines outlined in the **ERD File Guidance Manual** provides for more efficient filing, maintenance, accessing, and disposition of program material. These guidelines were defined by the Agency and OSWER and adhere to all standards of the Federal Records Center (FRC) and NARA for the handling of Federal records.

INTRODUCTION

SCOPE

This manual describes the file structure and filing procedures developed for ERD. These guidelines apply to all records created, received, or maintained by the Division. ERD is taking part in a pilot program in records management under the auspices of OSWER.

The filing system described in this manual is to be applied to all records (and non-records) generated and/or maintained in ERD. These include the active program records maintained in individual offices as well as the inactive records stored in the central files, and the administrative (chron) files maintained by the Branch secretaries. Non-records include the technical reference material stored throughout the Division, as well as certain site files for which official copies reside elsewhere.

The handling and disposition of electronic records is not addressed in this manual. This topic will be covered separately at a later date.

GOALS

* SIMPLICITY
* FLEXIBILITY
* UNIFORMITY

The file structure presented in this manual was developed with these goals in mind. There was an emphasis on creating a **simple** structure, with as few categories as possible, in order to encourage ongoing maintenance and facilitate record control and retrieval. **Flexibility** was built into the structure to allow new record series or subject categories within existing series to be added or deleted as program activities and needs change.

The structure contains specific guidelines so that the classification of records will be consistent from one staff member to the next. The structure also sets standards for **uniform** record practices, which are consistent with OSWER records management guidelines as well as emerging Agency policies. This standardization meets requirements imposed by the FRC and NARA for handling Federal records. It also makes it easier to identify and dispose of records at the appropriate time, according to the Agency's records control schedules.

AUTOMATION

Manual records management procedures are time consuming and labor intensive. However, a number of software applications have been designed to alleviate these burdens. ERD has selected one such software package, Inmagic Plus, to provide the Division with a tool to automate its records management program. ERD's Records Management Database System (RMDS), designed in Inmagic Plus, offers the program staff the capability to produce a complete inventory of the program's official records, quickly locate and retrieve needed documents, and create indexes, reports, and thesauri for records maintenance.

RMDS provides the program user with the ability to identify and locate records, whether they are held in the central administrative or program files, or have been transferred to the FRC. As an information tool, RMDS can save the staff many hours of searching for one lost file, not knowing whether it still exists, was destroyed, or has been sent to storage. The system also provides users with disposition information, regulating the length of time records may be kept and facilitating their timely and proper disposition.

TERMINOLOGY

This manual was written to be clearly and easily understood by the program and administrative staff of ERD. Some records management

terminology has been used where it was unavoidable. A Records Management Glossary is found in Appendix B to help staff when they come across any unfamiliar terms. However, there are a few terms, defined below, whose meanings should be made clear in the beginning.

Filing System - A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition. Another term for filing system is recordkeeping system.

Record Series - File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function. An example of a record series is "Regulations, Standards, and Guidelines." ERD staff should learn to refer to their files in terms of the series to which they belong because the record series determines the life of the file.

Primary Organization - The initial way in which a record series is placed in order or is organized. This initial order would be the first step in organizing files according to a filing system. This initial order usually relates to the way the files will be placed in the file drawers.

Secondary Organization - The way a record series is organized after the records are arranged in their primary order. This secondary order also usually relates to the way the files will be placed in the drawers.

File Structure - The placing of files in a particular order or sequence. A structure allows an office to identify a document according to its place within the structure. With set structures and contents, everyone will know where a particular document can be found.

File Break - A subject or name for a group of files within a file structure. A file structure is made up of file breaks.

Major Break - A file break or category.

Minor Break - A subcategory under a major break.

INMAGIC PLUS

Inmagic Plus is a PC-based database program that has been chosen by OSWER IM for Superfund records management systems. ERD has procured Inmagic Plus to facilitate the organization, control, and retrieval of its program information. The ERD Records Management Database System (RMDS) has been built in Inmagic Plus and provides a catalog/inventory of all administrative, programmatic, and technical reference material created or maintained by the Division.

The ERD RMDS includes three databases which parallel the three groups of records and non-records that have been defined in the ERD file structure: administrative, program, and technical reference. Each database contains records with identifying information. This information serves to point the user in the right direction to locate and retrieve the desired files.

The administrative database contains records for all correspondence maintained in each Branch. This includes controlled correspondence and FOIA correspondence, as well as general correspondence. Since each Branch maintains its own administrative files, the Branch that controls the file is indicated in the record. With the exception of some administrative records which are kept in notebooks (e.g., Time and Attendance Records), administrative records are maintained in the file drawers in chronological order by month. The user can search Inmagic and identify the documents needed, then go to the correct file to find the hard copy.

The program records database contains records for all program files maintained by ERD. Files which are already housed in the central files will be entered into RMDS by the Branch administrative staff. Program files maintained in individual offices will be entered into the database each

time a new file is created. **The program staff person responsible for maintaining these files is also responsible for this data entry.** When the program files become inactive and are moved from an individual office to the Central Files the responsible staff member must ascertain that all the records have been entered into RMDS. At this time, the close date and disposition date should be entered in the RMDS record. More information on this process can be found in the Filing Procedures section.

There are several types of records in the program files, such as Contracts; Policy Directives; Regulations, Standards, and Guidelines; Site Files; Project Records; and Reports to Congress. Each of these record series is represented in the database with unique fields. The record series, which is the primary identifier for locating files, is indicated in the database record for each file. This enables the user to quickly identify and retrieve documents from the Central Files.

The third database contains records for the technical reference material. These records contain basic bibliographic information about the items, including author, title, date, etc. Location is indicated first by specifying the Branch that "owns" the item. Technical reference material belonging to each Branch is physically separated. Technical reference material has been divided into subject categories, which are defined later in this manual, and is arranged according to these categories on the shelves. The subject category for each document is part of the database record for that item. This helps the user find the item on the shelves.

RMDS is basically a document and/or folder locating system. Users can search for records in a number of ways. The results of their searches are citations indicating the title and file location of the record.

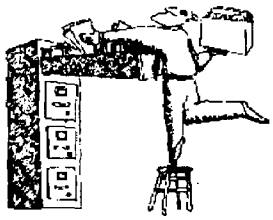
Searching can be done by document classification, record series, rule or directive name, title, author, originating office, date, keyword, subject, etc. Every word in each field in RMDS is indexed and fully searchable. For example, keyword indexes allow the user to locate and retrieve a document or folder by searching on any word in a title, rather than having to know the exact and entire title. Searches may also be done for portions of a word, for example, searching for **comp*** would retrieve entries containing the words **computer**, **computers**, and **computing**. This method of searching, using truncation, is described in the **RMDS User's Manual**.

RMDS contains a user-friendly search interface which provides pre-determined prompts which allow the user more freedom and flexibility in conducting searches.

In addition to the search function, a number of reports for use with each database have been designed. They provide a way to present aggregate information in an organized format. The reports are described in detail in the **Inmagic System Design Document** and the **RMDS User's Manual**. Included among these reports are label formats to generate file folder labels from Inmagic.

Information concerning document disposition, including the disposition date, authority number, and instructions, is included in the database records in the administrative and program databases. This information is readily available to the user to facilitate proper disposition and preparation of the records inventories required for retirement.

FILE STRUCTURE AND GUIDELINES



ERD FILE STRUCTURE

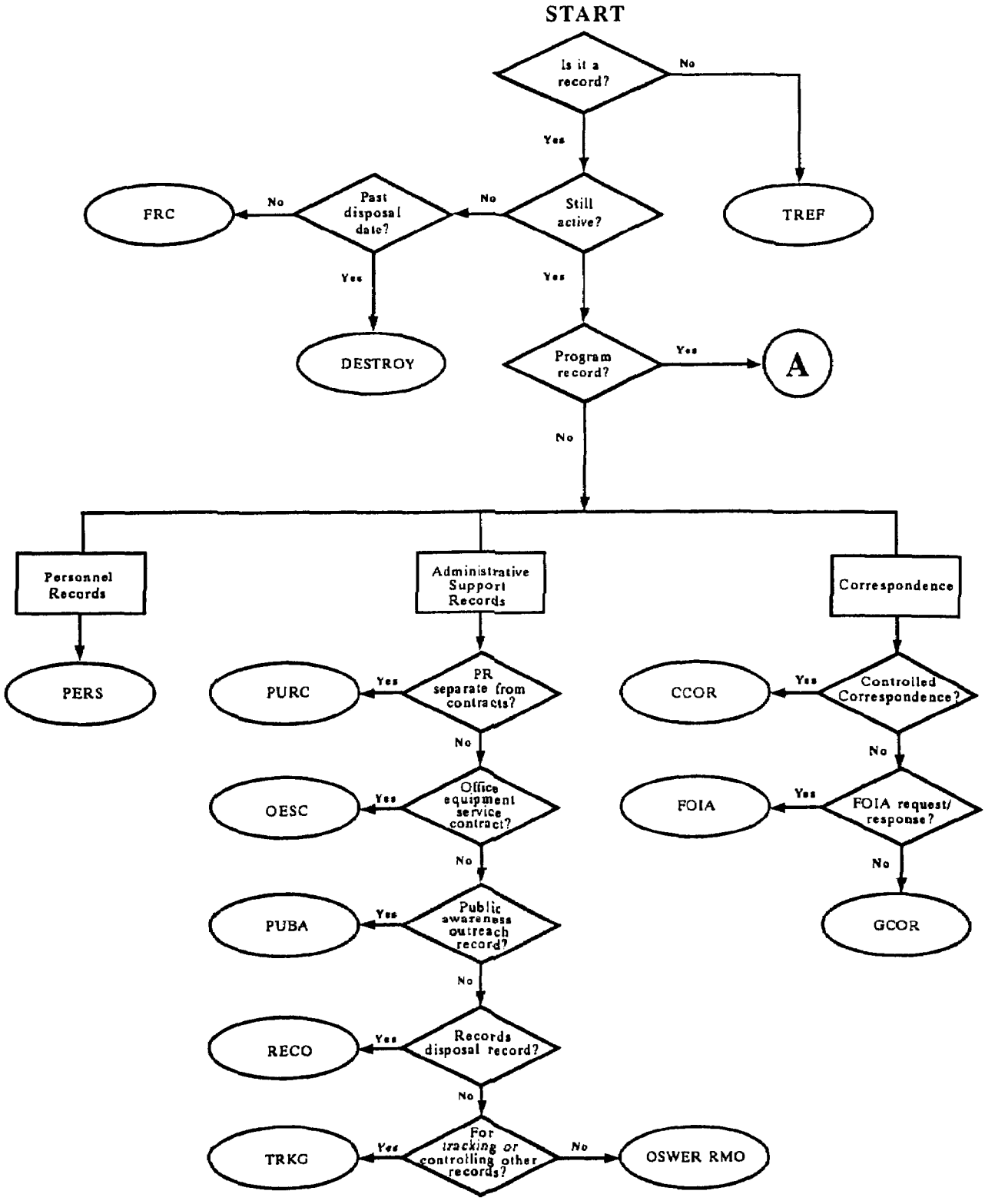
The ERD File Structure is a simple categorization of ERD office records by Activity Groups. Generally, each Activity Group represents one record series as identified in the EPA Records Control Schedules. In a few cases, where a certain Activity Group involves several interrelated record series, the record series are combined as sub-activities of the overall Activity Group; for example, in personnel records, where four record series are listed under the Activity Group "Personnel Records."

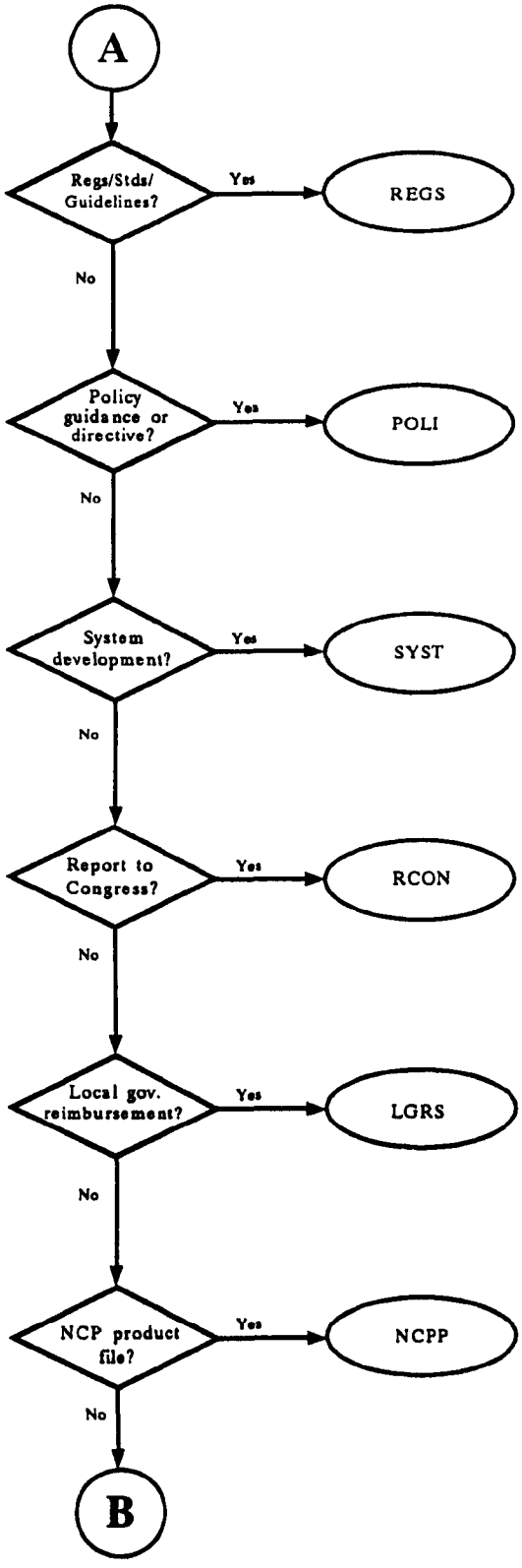
Each Activity Group has an alphanumeric code to assist in its identification. The first four characters are a mnemonic representation of the name of the Activity Group or record series. The last three characters are the EPA Series number assigned to the records held in that Activity Group or record series.

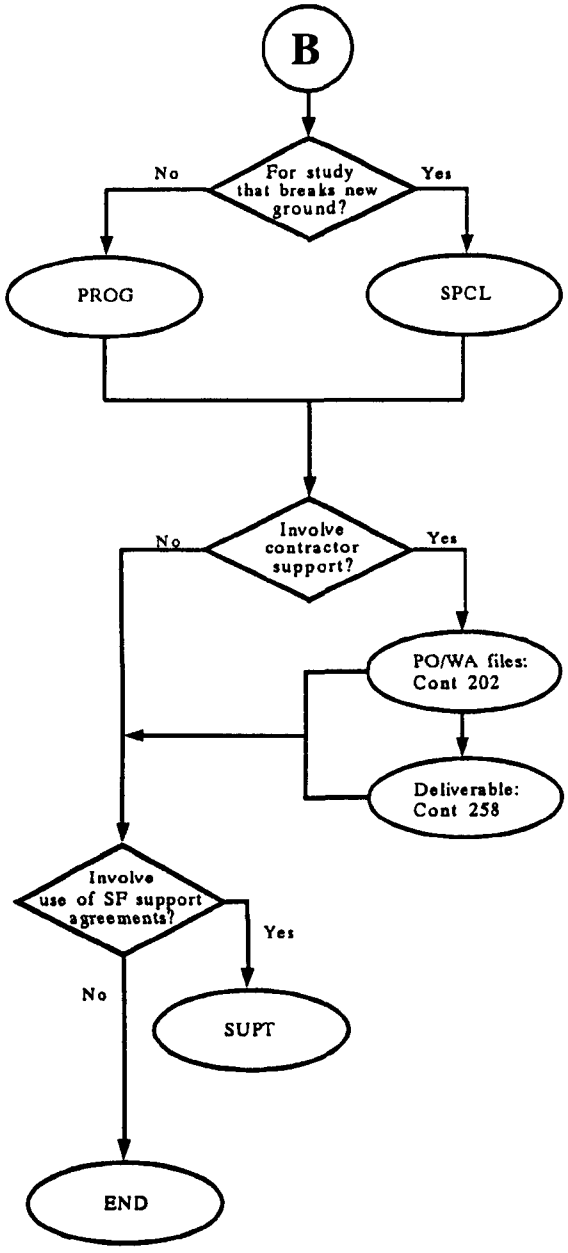
Specific guidance on how to organize the records generated for each activity is given in the **Guidelines on the File Structure** section. Generally, the organization of the files within each Activity Group or record series is based on a natural order that is easy to understand. Files with subject titles are organized alphabetically; files identified by numbers are organized numerically.

The Record Identification Flow Chart on the following pages provides users with guidance for the proper placement of their records within the file structure defined in this manual. Its goal is to assist users in placing their records in the correct record series. It covers the major categories of records used within ERD. Records which are a subcategory of a major record series or Activity Group (e.g., SYST-059 or CCOR-141b) are defined in the appropriate section of this manual.

ERD RECORDS IDENTIFICATION CHART




A
Regs/Stds/ Guidelines?
Yes
REGS
No
Policy guidance or directive?
Yes
POLI
No
System development?
Yes
SYST
No
Report to Congress?
Yes
RCON
No
Local gov. reimbursement?
Yes
LGRS
No
NCP product file?
Yes
NCPP
No
B


B
For study that breaks new ground?
No
Yes
PROG
SPCL
Involve contractor support?
No
Yes
PO/WA files: Cont 202
Deliverable: Cont 258
Involve use of SF support agreements?
Yes
No
SUPT
END

ERD FILE STRUCTURE

Code	Activity Group/Record Series	Page
CCOR	**CONTROLLED CORRESPONDENCE RECORDS**	23
CCOR-141a	Controlled Correspondence Requiring Signature of Office Director or Above Records	23
CCOR-141b	Controlled Correspondence Requiring Signature of Division Directors or Other Lower Level Supervisory Staff Records	25
CONT	**CONTRACT RECORDS**	27
CONT-202b	Contract Project Officer Records	27
	1.0 General Correspondence 2.0 Contractor and Contract Modifications 3.0 Contract Invoices 4.0 Technical Progress Reports and Monthly Reports 5.0 Financial Approval Statements 6.0 Contract WAM/DOPO Training 7.0 Contract Evaluation and Performance Evaluation Board Reports 8.0 Work Assignments/Delivery Orders 9.0 Meetings 10.0 Procurement Requests	
CONT-202c	Contract WAM/DOPO Records	30
	1.0 Work Assignment Records 2.0 Work Assignment Correspondence 3.0 Contractor Performance Records	
CONT-258	Final Deliverables Resulting From Contractor Studies and Services Records	33
FOIA-034	**FOIA REQUEST/RESPONSE RECORDS**	35
GCOR-127	**GENERAL CORRESPONDENCE**	37

Code	Activity Group/Record Series	Page
LGRS-080	**LOCAL GOVERNMENT REIMBURSEMENT RECORDS**	39
NCPP-086	**NCP PRODUCT FILES RECORDS**	41
OESC-125	**OFFICE EQUIPMENT SERVICE CONTRACTS RECORDS**	43
PERS	**PERSONNEL RECORDS**	45
PERS-121	Travel Expense Records	45
PERS-122	Position Descriptions and Personnel Reference Records	46
PERS-123	Employee Training Records	48
PERS-276	Time and Attendance/Leave Slips Records	49
POLI-007	**POLICY GUIDANCE/DIRECTIVES RECORDS** (developed by program staff)	51
	1.0 Background Documentation 2.0 Technical Background Documentation 3.0 General Correspondence 4.0 Workgroup/Task Force Records 5.0 Meetings 6.0 Interim Progress Reports 7.0 Presentation/Briefing Materials 8.0 Draft Guidance Document and Comments 9.0 Final Guidance Document	
PROG	**PROGRAM MANAGEMENT RECORDS**	55
PROG-006a	Program Management Files of Division Directors or Above	55
PROG-006b	Program Management Files of Branch Chiefs and Below	57
PUBA-081	**PUBLIC AWARENESS RECORDS**	61
PURC-124	**PURCHASE REQUEST/ORDER RECORDS**	63

Code	Activity Group/Record Series	Page
RCON-155	**REPORTS TO CONGRESS RECORDS**	65
	1.0 Background Information 2.0 Workgroup Records 3.0 Correspondence/Notes, etc. 4.0 Red Border Review 5.0 OMB Review 6.0 Concurrence 7.0 Drafts/Comments/Responses	
RECO-307	**RECORDS DISPOSITION RECORDS**	69
REGS-149	**REGULATIONS, STANDARDS, AND GUIDELINES RECORDS** (developed by program staff)	71
	1.0 Background Documentation 2.0 Technical Background Documentation 3.0 General Correspondence 4.0 Workgroup/Task Force Records 5.0 Meetings 6.0 Presentation/Briefing Materials 7.0 Red Border Review 8.0 OMB Review 9.0 AX Review/Concurrence 10.0 Drafts/Comments/Responses 11.0 Proposed Regulation/Federal Register Notice 12.0 Final Regulation/Federal Register Notice	
SPCL	**SPECIAL STUDIES RECORDS**	77
SPCL-005a	Final Reports Resulting from Special Studies Records	77
SPCL-005b	Special Studies Supporting Files	78
SUPT-001b	**SUPERFUND SUPPORT AGREEMENT RECORDS**	81
SYST	**SYSTEM RECORDS**	85
SYST-059	OHMTADS	86

Code	Activity Group/Record Series	Page
SYST-060	ERNS	90
SYST-061	CR-ERNS	94
SYST-089	Information Tracking Systems	99
SYST-090	Administrative Support Databases	101
TRKG-168	**TRACKING AND CONTROL RECORDS**	105
TREF	**TECHNICAL REFERENCE**	107
TREF-008a	Technical Reference Material	109
TREF-008b	Superfund Site Files	112
TREF-008c	Oil Spill Response Files	114
TREF-008d	Federal Response Plan Incident Files	119

GUIDELINES ON THE FILE STRUCTURE

CONTROLLED CORRESPONDENCE RECORDS
CCOR

Controlled correspondence records, as an Activity Group, include two separate records series: EPA Series 141a -- Controlled and Major Correspondence of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel and Office of Inspector General, and Headquarters Office Directors; and EPA Series 141b -- Controlled and Major Correspondence of EPA Division Directors, Branch Chiefs, and Other Supervisory Staff.

Records Held By: Throughout OSWER, the official copies of all controlled correspondence are held by the Office Manager/secretary in the office originating the control response. The copy of ERD's CCOR-141a files maintained by a Branch secretary or designee is considered the official file copy of the correspondence, since the Branch is the office of generation.

CCOR-141a

Controlled and Major Correspondence of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel and Office of Inspector General, and *Headquarters Office Directors.*

Documents covered under CCOR-141a include all ALs, AXs, and SWERs that have been signed by OSWER Office Directors or more senior officials, but whose response was prepared by ERD staff. Documents include copies of the incoming letter, the control tracking sheet, the response letter with enclosures, and any significant data used in the preparation of the response.

Primary Organization: CCOR-141a controlled correspondence should first be organized in chronological order by fiscal year.

Secondary Organization: CCOR-141a correspondence for each fiscal year should be organized in alphabetical order by the type of controlled correspondence, as follows:

ALs - use this folder for controlled correspondence to/from Congress.
AXs - use this folder for controlled correspondence to/from the Executive Branch.
SWERs - use this folder for OSWER controlled correspondence.

Folder Organization

Controlled correspondence is kept in hanging folders with the individual documents arranged in reverse order by control number.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

CCOR-141a Controlled Correspondence FY 93 ALs
CCOR-141a Controlled Correspondence FY 93 AXs
CCOR-141a Controlled Correspondence FY 93 SWERs

Disposition Instructions

CCOR-141a's are permanent records. The files should be closed out at the end of each fiscal year. Any controls whose response is still pending should be brought forward into the next fiscal year. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be transferred to the National Archives after they have been in the FRC for 20 years. Additional disposition information can be found in the **Disposition Guidance** section.

CCOR-141b

Controlled and Major Correspondence of EPA Division Directors, Branch Chiefs, and Other Supervisory Staff

Documents covered under CCOR-141b include office controls such as PODs, OMs, etc., that have been signed by OSWER Division Directors or lower level supervisory staff, but whose response was prepared by ERD staff. Documents include copies of the incoming letter, the control tracking sheet, the response letter with enclosures, and any significant data used in the preparation of the response.

Primary Organization: CCOR-141b controlled correspondence should first be organized in chronological order by fiscal year.

Secondary Organization: CCOR-141b correspondence for each fiscal year should be organized in alphabetical order by the type of controlled correspondence, as follows:

ILs - use this folder for Incoming Letters.
IMs - use this folder for Incoming Memos.
OLs - use this folder for Outgoing Letters.
OMs - use this folder for Outgoing Memos.
PODs - use this folder for Priority Correspondence.

Folder Organization

Controlled correspondence is kept in hanging folders with the individual documents arranged in reverse order by control number.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

CCOR-141b Controlled Correspondence FY 93 ILs
CCOR-141b Controlled Correspondence FY 93 OMs
CCOR-141b Controlled Correspondence FY 93 PODs

Disposition Instructions

CCOR-141b's have a 10 year life. The files should be closed out at the end of each fiscal year. Any controls whose response is still pending should be brought forward into the next fiscal year. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 10 years after closure, or after they have been in the FRC for 9 years. Additional disposition information can be found in the **Disposition Guidance** section.

CONTRACT RECORDS
CONT

Contract records within ERD consist of three record series: EPA Series 202b -- Contract Project Officer Records, EPA Series 202C -- Contract WAM/DOPO Records, and EPA Series 258 -- Final Deliverables Resulting From Contractor Studies and Services Records.

Records Held By: These records are under the custodianship of the Project Officer (PO), Work Assignment Manager (WAM), or the Delivery Order Project Officer (DOPO). Whether they are held in central filing stations or within the individual PO's, WAM's, or DOPO's office, it is still the responsibility of the PO/WAM/DOPO to ensure proper handling and disposition of these records.

CONT-202b

Contract Project Officer Records

These records consist of documents received or generated by the contract PO. Documents include: copies of the various work assignments/delivery orders under the contract; technical and financial progress reports; performance evaluation board reports; and related correspondence from the Contracting Officer, WAM/DOPO, and contractor.

Primary Organization: Contract Project Officer files should first be organized in numerical order by contract number.

Secondary Organization: Files for each contract should be organized in chronological order by fiscal year.

Folder Organization

For each contract, documents are kept in hanging or expandable folders, depending on need, and organized according to the subject categories below. Within each subject category, documents are arranged in reverse chronological order or, where applicable, in numerical order by WA/DO number.

1.0 General Correspondence
Correspondence to/from the Contracting Officer, WAM/DOPO, and contractor.

2.0 Contract and Contract Modifications
Copies of the contract and contract amendments, extensions, and modifications; contract specifications, explanations and fact sheets; and related correspondence.

3.0 Contract Invoices
Copies of contract financial vouchers and invoices.

4.0 Technical Progress Reports and Monthly Reports
Technical progress reports and monthly reports prepared by the contractor for the contract.

5.0 Financial Approval Statements
Copies of Project Officer approval of monthly financial statements.

6.0 Contract WAM/DOPO Training
Instructional material for conducting WAM/DOPO training for contract management certification, and copies of WAM/DOPO certification signature forms.

7.0 Contract Evaluation and Performance Evaluation Board Reports
Final evaluation summaries and reports prepared for the contract.

8.0 Work Assignments/Delivery Orders
Final/signed copies of each initial and modified Work Assignment/Delivery Order for the contract.

9.0 Meetings
Notes of meetings with contractors, including lists of action items, MOUs, etc.

10.0 Procurement Requests
Requests for increased contract funding, LOE, extensions, etc.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

CONT-202b Contract PO Records FY 92 #68-W2-0005 TMS 1.0 Correspondence Vol. 1: 10/1/91 - 3/30/92
CONT-202b Contract PO Records FY 92 #68-W2-0005 TMS 1.0 Correspondence Vol. 2: 4/1/92 - 9/30/92
CONT-202b Contract PO Records FY 92 #68-W2-0005 TMS 2.0 Contract and Contract Mods Vol. 1: Original Contract
CONT-202b Contract PO Records FY 92 #68-W2-0005 TMS 2.0 Contract and Contract Mods Vol. 2: Contract Mods
CONT-202b Contract PO Records FY 92 #68-W2-0005 TMS 3.0 Contract Invoices Vol. 1: 10/91 - 4/92
CONT-202b Contract PO Records FY 92 #68-W2-0005 TMS 3.0 Contract Invoices Vol. 2: 5/92 - 9/92

CONT-202b Contract PO Records FY 92
#68-W2-0005 TMS
4.0 Technical and Monthly Progress Reports
Vol. 1: Monthly Reports 10/91 - 5/92

Disposition Instructions

CONT-202b's have a 7 year life. The files should be closed out upon expiration or termination of the contract. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 7 years after closure, or after they have been in the FRC for 6 years. Additional disposition information can be found in the **Disposition Guidance** section.

CONT-202c

Contract WAM/DOPO Records

Contract WAM/DOPO records consist of documents received or generated by the Delivery Order Project Officers (DOPOs) or Work Assignment Managers (WAMs) in documenting the day-to-day administration and direction of the contracts. Documents include Work Assignments; Statements of Work (SOW); Level of Effort (LOE) documents; purchase requests; modifications; workplans; government furnished property or service lists; progress/status reports; monthly financial vouchers and monthly reports; meeting notes; deliverables review notes; performance evaluation forms; and all related correspondence.

Primary Organization: Contract WAM/DOPO files should first be organized in numerical order by contract number.

Secondary Organization: Files for each contract should then be organized in chronological order by fiscal year.

Folder Organization

For each work assignment or delivery order, documents are kept in hanging folders and organized according to the major breaks and specific volume headings listed below. Within the volume headings, documents should be arranged in reverse chronological order.

1.0 Work Assignment Records

Volume 1: Work Assignment File *(copy of Work Assignment; signed action requests; signed copy of WAM designation form)*
Volume 2: WA Amendments/Mods *(all amendments and mods, with signed cover sheets)*
Volume 3: Procurement Requests
Volume 4: Workplans *(all workplans, including op. form 60)*
Volume 5: Gov't Furnished Property Lists

2.0 Work Assignment Correspondence

Volume 1: Internal WA Correspondence
Volume 2: Contractor Correspondence *(includes copies of notices to proceed, stop work, or correct deficiencies)*
Volume 3: Meeting Notes/Phone Logs

3.0 Contractor Performance Records

Volume 1: Progress Reports (weekly, monthly, etc.)
Volume 2: Monthly Vouchers
Volume 3: Contractor Performance Evaluation
Volume 4: Deliverables *(copy of contractor transmittal letter, coversheet, and table of contents; copy of acknowledgement letter to the contractor; location sheet for the deliverable; copy of final deliverable review notes)*
Volume 5: Close-out Evaluation

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional

information on label format can be found in the **Folder Label Guidance** section.

CONT-202c Contract WAM Records #68-W2-0005 WA C06 1.0 Work Assignment Records Vol. 1: Work Assignment File
CONT-202c Contract WAM Records #68-W2-0005 WA C06 1.0 Work Assignment Records Vol. 2: WA Amendments/Mods
CONT-202C Contract WAM Records #68-W2-0005 WA C06 2.0 Work Assignment Correspondence Vol. 1: Internal WA Correspondence
CONT-202C Contract WAM Records #68-W2-0005 WA C06 3.0 Contractor Performance Records Vol. 1: Monthly Progress Reports
CONT-202C Contract WAM Records #68-W2-0005 WA C06 3.0 Contractor Performance Records Vol. 2: Monthly Vouchers

Disposition Instructions

CONT-202c's have a 7 year life. The files should be closed out upon expiration or termination of the contract. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 7 years after closure, or after they have been in the FRC for 6 years. Additional disposition information can be found in the **Disposition Guidance** section.

CONT-258

Final Deliverables Resulting From Contractor Studies and Services Records

These records consist of all final deliverables resulting from a contractor study or service that have been submitted to the WAM/DOPO.

Primary Organization: Final deliverables should first be arranged in alphabetical order by contractor name.

Secondary Organization: Files for each contractor are to be arranged in numerical order by WA or DO number.

Folder Organization

All final deliverables for each Work Assignment/Delivery Order are filed in hanging or expandable folders (or in binders, where applicable), in order of receipt.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label formats can be found in the **Folder Label Guidance** section.

CONT-258 Final Deliverables TMS #68-W2-0005 WA #C-06 ERD File Guidance Manual
CONT-258 Final Deliverables AMS #68-0107281 DO #188 System Life Cycle Management Study

Expandable folder containing smaller deliverable products:

CONT-258 Final Deliverables TMS #68-W2-0005 WA #C-06 ERD Records Management Support
CONT-258 Final Deliverables TMS #68-W2-0005 WA #C-06 Vol. 1: RSCB Program Records File Structure
CONT-258 Final Deliverables TMS #68-W2-0005 WA #C-06 Vol. 2: RSCB Administrative Files Guidance Manual

Disposition Instructions

CONT-258s are permanent records. The files should be closed out at the end of the project or delivery order. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be transferred to the National Archives after they have been in the FRC for 20 years. Additional disposition information can be found in the **Disposition Guidance** section.

FOIA REQUEST/RESPONSE RECORDS
FOIA-034

Freedom of Information Act (FOIA) Request/Response records are created in response to all requests for information submitted under the FOIA. Documents include a copy of the FOIA request attached to a copy of the response, and any significant supporting information used in preparation of the response.

Records Held By: These records are held by the Branch secretary or designee. They do not represent the official Agency copies of the FOIA Request/Response records, which are held by the EPA FOIA Officer.

Primary Organization: The FOIA files should first be organized in chronological order by fiscal year.

Secondary Organization: See **Folder Organization** below.

Folder Organization

FOIA Request/Response files are kept in hanging or expandable folders, with the individual documents arranged in reverse order by "RIN" control number.

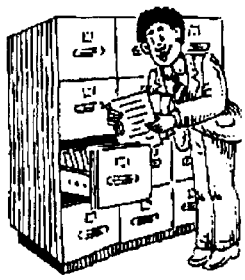
Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

FOIA-034 FOIA Request/Response Records FY 92 Vol. 1: RIN #578-875
FOIA-034 FOIA Request/Response Records FY 92 Vol. 2: RIN #876-980

Disposition Instructions

FOIA-034s have a 2 year life. The files should be closed out at the end of each fiscal year. The closed files should be kept in the office for 2 additional years, then destroyed. Additional disposition information can be found in the **Disposition Guidance** section.



GENERAL CORRESPONDENCE RECORDS
GCOR-127

General Correspondence records relate to the general correspondence and memoranda files maintained by EPA Division Directors, Branch Chiefs, and other supervisory staff, used to document the activities and management of the program.

Records Held By: These records are held by the Branch secretary or designee. The official copy of the correspondence and memoranda prepared by the program staff, as part of their specific program assignment, is held in the related program records file. The "yellow" consensus copy of the correspondence or memoranda is filed in the GCOR-127 files.

Primary Organization: General Correspondence files should first be organized in chronological order by fiscal year.

Secondary Organization: Files for each fiscal year should be organized in chronological order by month. Special subject files can be developed in addition to the monthly files, as needed, to accommodate specific requirements.

Folder Organization

All General Correspondence files are kept in hanging file folders with the individual documents arranged in reverse chronological order. In some cases, where there may be a need to maintain certain groups of documents together for specific retrieval purposes, documents may be filed by subject, rather than by month. As with the monthly folders, each individual folder represents one volume of specific information and is identified in the volume description section of the label.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

GCOR-127 General Correspondence FY 93 Vol. 1: October
GCOR-127 General Correspondence FY 93 Vol. 12: September
GCOR-127 General Correspondence FY 93 Vol. 13: TQM
GCOR-127 General Correspondence FY 93 Vol. 14: Wood Preservatives

When a program staff member generates a letter, additional keywords for the letter can be assigned by that staff member. When the Inmagic record for the letter is generated by the Branch secretary, these keywords will be searchable, as well as information in the subject, date, author, and addressee fields.

Disposition Instructions

GCOR-127s have a 5 year life. The files should be closed out at the end of each fiscal year. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 5 years after closure, or after they have been in the FRC for 4 years. Additional disposition information can be found in the **Disposition Guidance** section.

LOCAL GOVERNMENT REIMBURSEMENT RECORDS
LGRS-080

Local Government Reimbursement (LGR) records are created when a local government or governmental entity has conducted a response action to the release of a hazardous substance and is seeking reimbursement from EPA for incurred expenses. Records include general information and cost documentation on the release, the application for reimbursement, and records of reimbursement.

Records Held By: These records are under the custodianship of the ERD program staff member assigned to oversee the claims reimbursement process. Whether the files making up this series are held in the central files or within the program staff's office, it is the responsibility of the program staff to ensure the proper handling and disposition of these records.

Primary Organization: LGR files should first be organized in alphabetical order by application ID.

Secondary Organization: See **Folder Organization** below.

Folder Organization

All documents prepared for each reimbursement application are maintained together as a submission package. Each set of documents are kept in a regular manila folder in the following order:

1. Reimbursement Application
2. Application Analysis
3. Application Decision
4. Correspondence
5. Miscellaneous Materials

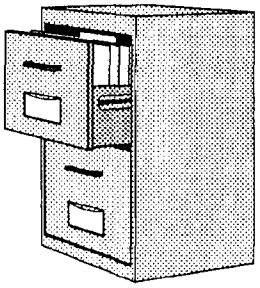
Folder Labels

Each folder has a label identifying the folder and its contents. An example of how these files are to be labeled is given below. Additional information on label format can be found in the **Folder Label Guidance** section.

LGRS-080 Local Government Reimbursement PABUFALL 1987 Doylestown Township, PA

Disposition Instructions

LGRS-080s have a 30 year life. The files should be closed out immediately after settlement of the reimbursement claim. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 30 years after closure, or after they have been in the FRC for 29 years. Additional disposition information can be found in the **Disposition Guidance** section.



NCP PRODUCT FILES RECORDS
NCPP-086

National Contingency Plan (NCP) Product Files contain information on chemical or biological products that may be authorized for use on oil discharges. The files include technical product data submitted by companies during the process of registering their products on the NCP Products List.

Records Held By: These records are under the custodianship of the ERD/Oil Pollution Response and Abatement Branch (OPRAB) staff member assigned to maintain and control submission applications.
Note: NCP Product Files are considered Confidential Business Information (CBI) material and are stored in locked file cabinets separate from all other program records.

Primary Organization: NCP Product Files should first be organized in alphabetical order by company name.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents submitted for each product application are maintained together as an application package. Documents within the package are kept in a regular manila folder or expandable folder, as needed, and arranged in the following order.

1. Application
2. Technical Bulletin
3. Correspondence
4. Final Listing Letter

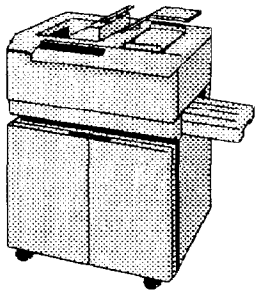
Folder Labels

Each folder has a label identifying the folder and its contents. An example of how these files are to be labeled is given below. Additional information on label format can be found in the **Folder Label Guidance** section.

NCPP-086 NCP Products Acme Chemical

Disposition Instructions

NCPP-086s have a 10 year life. The files should be closed out when they are superseded or become obsolete. The closed files should be kept in the office for 3 additional years, then retired to the FRC. They will be destroyed 10 years after closure, or after they have been in the FRC for 7 years. Additional disposition information can be found in the **Disposition Guidance** section.



OFFICE EQUIPMENT SERVICE CONTRACTS RECORDS
OESC-125

Office Equipment Service Contracts records include reference copies of service agreements for office equipment maintenance, or other contractual agreements for office services. Documents include copies of signed service agreements for all office equipment (copiers, printers, etc.) and other material related to the agreement, such as sample Procurement Requests (PRs), equipment lists, and costing figures.

Records Held By: Office Equipment Service Contracts records are held by the Branch secretary or designee. These service contracts, held in ERD, do not represent the official Agency copies of these contracts.

Primary Organization: Office Equipment Service Contracts files should first be organized in chronological order by fiscal year.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents are kept in hanging file folders with the individual documents arranged in alphabetical order by service contractor name.

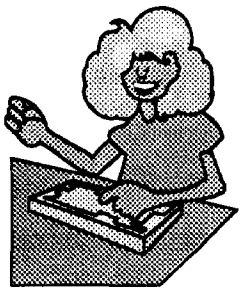
Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

OESC-125 Office Equip. Svc. Conts. FY 92
OESC-125 Office Equip. Svc. Conts. FY 93

Disposition Instructions

OESC-125s have a 1 year life. The files should be closed out at the end of the fiscal year (when the agreements are renewed). The closed files should be kept in the office for 1 additional year, or until all outstanding vouchers are cleared, then destroyed. Additional disposition information can be found in the **Disposition Guidance** section.



PERSONNEL RECORDS
PERS

Personnel records, as an activity group, relate to four separate record series: EPA Series 121 -- Travel Expense Records, EPA Series 122 -- Personnel Reference Records, EPA Series 123 -- Employee Training Records, and EPA Series 276 -- Time and Attendance Records.

Records Held By: These records are held by the Branch secretary or designee in a locked file drawer. Copies of personnel evaluations should be maintained at the Supervisory level. Copies of these records held by individual staff members are considered personal papers.

PERS-121

Travel Expense Records

Travel Expense records include copies of all travel records used to account for employees while on travel, and for follow-up travel reimbursements. Documents include the travel authorization, travel advance application, transportation request, copy of the travel voucher, copy of the reimbursement claim, copies of expense receipts, and related correspondence.

Primary Organization: Travel Expense records should first be organized in chronological order by fiscal year.

Secondary Organization: Files for each fiscal year should be organized in alphabetical order by last name, first name of each employee.

Folder Organization

Documents for each employee are kept in regular manila folders, with the individual documents arranged in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

PERS-121 Travel Expense Records FY 92 Watters, Hubert
PERS-121 Travel Expense Records FY 92 Zeller, Elizabeth

Disposition Instructions

PERS-121s have a 3 year life. The files should be closed out at the end of each fiscal year. The closed files should be kept in the office for 3 additional years, then destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

PERS-122

Position Descriptions and Personnel Reference Records

Personnel Reference records consist of the Branch copies of all ERD staff-related items. Documents include copies of personnel qualifications, position descriptions, personnel action forms, performance standards and evaluations, and other related records. An electronic copy of all current performance standards is maintained as well.

Primary Organization: Personnel Reference records should first be organized in alphabetical order by last name, first name of each employee.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents for each employee are kept in regular manila folders with the individual documents arranged in reverse chronological order. Since some of the documents included in these files are physically located in either the Branch supervisor's office or the Branch secretary's file cabinet, the documents can be organized by the split categories, then in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Since some of the documents included in these files are physically located in either the Branch supervisor's office or the Branch secretary's file cabinet, document categories may be indicated on the folder labels as determined by the supervisor/secretary. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

PERS-122 Personnel Reference Records McEaddy, Monica
PERS-122 Personnel Reference Records Norris, Rich
PERS-122 Personnel Reference Records Stalcup, Dana
PERS-122 Personnel Reference Records Thomas, Gail

Disposition Instructions

PERS-122 files should be closed out when the employee no longer works in the Branch. At that time, they should be destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

PERS-123

Employee Training Records

Employee Training records relate to documentation of ERD staff training. Documents include copies of training requests, training authorizations and training record forms, nomination forms, interagency training agreement forms, and other related documents.

Primary Organization: Employee Training records should first be organized in chronological order by fiscal year.

Secondary Organization: Files for each fiscal year should be organized in alphabetical order by last name, first name of each employee.

Folder Organization

Documents for each employee are kept in regular manila folders, with the individual documents arranged in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

PERS-123 Employee Training Records FY 92 Johnson, Terry
PERS-123 Employee Training Records FY 92 Lopez, David
PERS-123 Employee Training Records FY 92 Mjoness, Mark

Disposition Instructions

PERS-123s have a 1 year life. The files should be closed out at the end of each fiscal year. The closed files should be kept in the office for 1 additional year, then destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

PERS-276

Time and Attendance Records

Time and Attendance records relate to the accounting of ERD staff time for payroll and other purposes. Documents include copies of time sheets, leave slips (including special leave forms, such as for military leave), doctors' slips, and other related documents.

Primary Organization: Time and Attendance records should first be organized in chronological order by fiscal year.

Secondary Organization: Files for each fiscal year should be organized in reverse chronological order by pay period.

Folder Organization

Documents for each pay period are kept in notebooks with all documents (time sheets, leave slips, etc.) for each employee placed, as a package, in

numerical order by the first 4 digits of the employee's social security number.

Folder Labels

The notebooks will be identified on the front cover as shown below.

PERS-276 Time and Attendance Records FY 93

Disposition Instructions

PERS-276s have a 1 year life. The files should be closed out at the end of each fiscal year. The closed files should be kept in the office for 1 additional year, then destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

POLICY GUIDANCE/DIRECTIVES RECORDS
(Developed by Specific Programs)
POLI-007

Policy Guidance and Directives records cover all files that document major policy decisions and program operational procedures providing the mandates for overall and specific program direction and action. Documents include: official policy decisions; delegations of authority; memos which set policy or issue guidance signed by OSWER's Assistant Administrator and Office Directors; operating guidance; procedures manuals; other procedural materials; technical resource documents; regulatory interpretation and implementation documents; task force/workgroup meeting notes; background material produced during policy development; and final drafts and comments.

Records Held By: These records are under the custodianship of the ERD program staff member assigned the task of developing the policy document. Whether the files making up this series are held in the central files or within the individual program staff's office; it is the responsibility of the program staff to ensure the proper handling and disposition of these records.

Primary Organization: Policy Guidance/Directives records should first be organized in alphabetical order by the name of the policy document under development.

Secondary Organization: Files for each policy document should be organized according to the subject categories below.

1.0 Background Documentation
2.0 Technical Background Documentation

3.0 General Correspondence
4.0 Workgroup/Task Force Records
5.0 Meetings
6.0 Interim Progress Reports
7.0 Presentation/Briefing Materials
8.0 Draft Guidance Document and Comments
9.0 Final Guidance Document

Folder Organization

Documents for each subject category are kept in regular manila folders or hanging or expandable folders depending on the number of documents. For most subject categories, individual documents can be arranged in reverse chronological order. In cases where there are a larger number of documents, individual folders may be identified with special folder subjects or content descriptions rather than in strictly chronological order. These special folder subjects are determined by the staff preparing the folders to reflect individual work product preferences.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

POLI-007 Policy Guidance/Directives Records Drinking Water 1.0 Background Documentation Vol. 1: Needs Assessment Survey, Forms
POLI-007 Policy Guidance/Directives Records Drinking Water 2.0 Technical Background Documentation Vol. 1: Site Soil Chemical Evaluation Report

POLI-007 Policy Guidance/Directives Records Drinking Water 3.0 General Correspondence Vol. 1: 1990
POLI-007 Policy Guidance/Directives Records Drinking Water 4.0 Workgroup/Task Force Records Vol. 1: Members and Mailing List
POLI-007 Policy Guidance/Directives Records Drinking Water 4.0 Workgroup/Task Force Records Vol. 2: Meeting Notes - 1990
POLI-007 Policy Guidance/Directives Records Drinking Water 5.0 Meetings Vol. 1: DOE Meetings - 1990
POLI-007 Policy Guidance/Directives Records Drinking Water 6.0 Interim Progress Reports
POLI-007 Policy Guidance/Directives Records Drinking Water 7.0 Presentation/Briefing Materials Vol. 1: AA Briefing - 7/90
POLI-007 Policy Guidance/Directives Records Drinking Water 8.0 Draft Guidance Document and Comments Vol. 1: 7/89 Draft
POLI-007 Policy Guidance/Directives Records Drinking Water 8.0 Draft Guidance Document and Comments Vol. 2: Comments for Draft of 7/89
POLI-007 Policy Guidance/Directives Records Drinking Water 9.0 Final Guidance Document

Disposition Instructions

POLI-007s are permanent records. The files should be closed out when the directive is published. The closed files should be kept in the office for 1 additional year, then retired to the FRC. The files will be transferred to

the National Archives after they have been in the FRC for 19 years. Additional disposition information can be found in the **Disposition Guidance** section.

PROGRAM MANAGEMENT RECORDS
PROG-006

Program Management records consist of two record series: EPA Series 006a -- Program Management Files Held by the Offices of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Regional Administrators, Deputy Regional Administrators, and Division Directors; and EPA Series 006b -- Program Management Files Held by the Offices of Branch Chiefs and Other Personnel.

Records Held By: Program Management files are under the custodianship of the ERD program staff member assigned the project or the Branch secretary if the files are maintained in the central files. Whether the files are held in central filing stations or within the individual program staff's office, it is the responsibility of the program staff to ensure the proper handling and disposition of these records.

PROG-006a

Program Management Files Held by Offices of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Regional Administrators, Deputy Regional Administrators, and Division Directors.

Documents covered under PROG-006a include records which relate to the ongoing management of programs at the Division Director level or above. Types of files include both mission and operational program material and may be maintained by one or more organizational units. Specific documents include correspondence, memoranda, and reports relating to

general policy and program matters, interagency activity, program implementation records, strategy papers, budget planning records, research, and other similar materials. They also include project control files showing assignments, progress and completion of projects.

Program management files may also be part of a set of files comprised of several record series. For example, system records may include program management records and contract records as well as system documentation (see **SYST -- System Records**). In these cases, the program management material should be kept in separate folders within the hanging file folders and labeled appropriately.

Primary Organization: Program Management files should first be organized in alphabetical order by subject or project name.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents for each subject or project are filed in expandable or individual file folders in reverse chronological order. In those cases where there are a larger number of documents, individual folders may be identified with special folder subjects or content descriptions rather than in strictly chronological order. These special folder subjects are to be determined by the staff preparing the folders to reflect individual work product preferences.

Folder Labels

Each expandable and individual file folder has a label identifying the record. Where needed, individual folders may be identified by the special subject contents held in the folder. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

PROG-006a Program Management Records Eastern Europe - I
PROG-006a Program Management Records Budget FY 93 Vol. 1: Planning

Disposition Instructions

PROG-006a's have a 10 year life. The files should be closed out at the end of each fiscal year. Documents that are needed for the program in the current year should be brought forward. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 10 years after closure, or after they have been in the FRC for 9 years. Additional disposition information can be found in the **Disposition Guidance** section.

PROG-006b

Program Management Files Held by the Offices of Branch Chiefs and Other Personnel.

Documents covered under PROG-006b include records which relate to the ongoing management of programs at the Branch Chief level or below. Types of files include both mission and operational program material and may be maintained by one or more organizational units. Specific documents include correspondence, memoranda, and reports relating to general policy and program matters, interagency activity, program implementation records, strategy papers, budget planning records, research, and other similar materials. They also include project control files showing assignments, progress and completion of projects.

Program management files may also be part of a set of files comprised of several record series. For example, system records may include program management records and contract records as well as system documentation (see **SYST -- System Records**). In these cases, the program management material should be kept in separate folders within the hanging file folders and labeled appropriately.

Primary Organization: Program Management files should first be organized in alphabetical order by subject or project name.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents of each subject or project are filed in expandable or individual file folders in reverse chronological order. In those cases where there are a larger number of documents, individual folders may be identified with special folder subjects or content descriptions rather than in strictly chronological order. These special folder subjects are to be determined by the staff preparing the folders to reflect individual work product preferences.

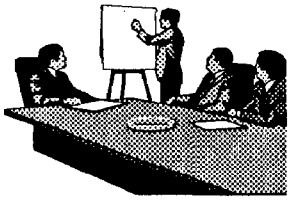
Folder Labels

Each expandable or individual file folder has a label identifying the record. Where needed, individual folders may be identified by the special subject contents held in the folder. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

PROG-006b Program Management Records Underground Storage Tanks
PROG-006b Program Management Records SPCC Database

Disposition Instructions

PROG-006b's have a 5 year life. The files should be closed out at the end of each fiscal year. Documents that are needed for the program in the current year should be brought forward. The closed files should be kept in the office for 1 additional year, then retired to the FRC. The files will be destroyed 5 years after closure, or after they have been in the FRC for 4 years. Additional disposition information can be found in the **Disposition Guidance** section.



PUBLIC AWARENESS RECORDS
PUBA-081

Public Awareness records include informal outreach materials for the public or Congress. Records consist of press releases, "Specials," "Response Alerts," fact sheets, background papers, reports, talking points, briefings, news clippings, etc. These files also may contain conference and symposium materials relating to a program, an element of a program, a particular regulation, or an environmental event. **NOTE: Presentation briefing materials prepared as part of the development of a specific regulation or guidance document are filed with the other records for that regulation or guidance document.** PUBA-081 is used for day-to-day program implementation activities.

Records Held By: Public Awareness records are maintained by the Branch secretary or designee in the central files.

Primary Organization: Public Awareness records should first be organized in chronological order by fiscal year.

Secondary Organization: Records for each fiscal year should be organized in alphabetical order by the name of the subject or event.

Folder Organization

Documents for each subject or event are kept in reverse chronological order in regular manila folders, or hanging expandable folders, if needed.

Folder Labels

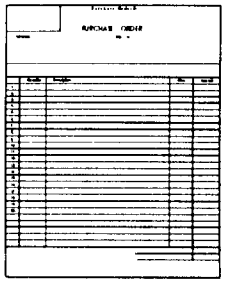
Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional

information on label format can be found in the **Folder Label Guidance** section.

PUBA-081 Public Awareness Records Federal Response Plans Briefing
PUBA-081 Public Awareness Records Local Government Reimbursement Presentation Materials

Disposition Instructions

PUBA-081s have a 5 year life. The files should be closed out at the end of each fiscal year. All active materials should be brought forward for the new fiscal year. The closed files should be kept in the office for 1 additional year, then retired to the FRC. They will be destroyed 5 years after closure, or after they have been in the FRC for 4 years.



PURCHASE REQUEST/ORDER RECORDS
PURC-124

Purchase Request/Order records consist of reference copies of requests for office services or supplies. Documents include copies of procurement requests/order forms (EPA Form 1900-8), requests for facilities labor and maintenance (EPA 5100-8), requests for maintenance of certain office machines (typewriters, etc.), requests for duplication or printing, and other related records, such as justification memoranda, company invoices, service call reports, and item descriptions and pictures.

Records Held By: These records are held by the Branch secretary or designee.

Primary Organization: Purchase Request/Order records should first be organized in chronological order by fiscal year.

Secondary Organization: Files for each fiscal year should be organized by the name of the company providing the service, or the category of the service supplied. These company or service categories are determined by the Branch secretary, as needed.

Folder Organization

Documents for each request are stapled together as a request package. The request packages are kept in regular manila folders, arranged in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

PURC-124 Purchase Request/Order Records FY 93 Cleaning Services
PURC-124 Purchase Request/Order Records FY 93 Miscellaneous PRs
PURC-124 Purchase Request/Order Records FY 93 SAVIN Service Calls

Disposition Instructions

PURC-124s have a 1 year life. The files should be closed out at the end of each fiscal year. The closed files should be kept for 1 additional year, or until all outstanding vouchers are cleared, then destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

REPORTS TO CONGRESS
RCON-155

Reports to Congress consist of reports made to Congress by EPA in accordance with the mandates of all environmental legislation. Records include the reports as well as the report work files, which cover records related to the organization, design, evaluation, and revision of the reports.

Records Held By: These records are under the custodianship of the program staff member assigned the task of developing the report. The office that is responsible for submitting the report is responsible for maintaining the record copy of the report and the work files, and for ensuring their proper handling and disposition.

Primary Organization:

(a) Reports to Congress should first be organized in chronological order by fiscal year.

(b) Work Files should first be organized in chronological order by fiscal year.

Secondary Organization:

(a) Reports for each fiscal year should be organized in numerical order by report number.

(b) Work Files for each fiscal year should be organized in numerical order by report number. The files for each report should be organized according to the subject categories below.

1.0 Background Information
2.0 Workgroup Records
3.0 Correspondence/Notes, etc.
4.0 Red Border Review

5.0 OMB Review
6.0 Concurrence
7.0 Drafts/Comments/Responses

Folder Organization

(a) Reports are grouped by fiscal year and stored in magazine file holders on central shelving units.

(b) Documents for each subject category are kept in regular manila folders, or hanging folders, depending on the number of documents. For most subject categories, individual documents can be arranged in reverse chronological order. In cases where there are a larger number of documents, individual folders may be identified with special folder subjects or content descriptions rather than in strictly chronological order. These special folder subjects are determined by the staff preparing the folders to reflect individual work product preferences.

Folder Labels

(a) Each magazine file holder has a label identifying the holder contents. An example of how these holders are to be labeled is given below.

RCON-155 Reports to Congress FY 92

(b) Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below.

Additional information on label format can be found in the **Folder Label Guidance** section.

RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 1.0 Background Information
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 2.0 Workgroup Records Vol 1: Members and Mailing List
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 2.0 Workgroup Records Vol. 2: Meeting Notes 5/18
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 3.0 Miscellaneous Correspondence/Notes, etc. Vol. 1: Correspondence
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 4.0 Red Border Review
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 5.0 OMB Review
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 6.0 Concurrence
RCON-155 Reports to Congress - Workfiles 540/01-87.001 Truck Study 7.0 Drafts/Comments/Responses Vol. 1: Draft - Red Border Review

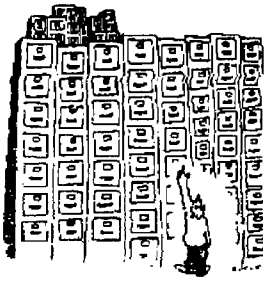
RCON-155 Reports to Congress - Workfiles
540/01-87.001 Truck Study
7.0 Drafts/Comments/Responses
Vol. 2: Comments to Red Border Review Draft

Disposition Instructions

(a) Reports to Congress are permanent records. The files should be closed out when the report is sent to Congress. The closed files should be kept in the office for 5 additional years, then retired to the FRC. They will be transferred to the National Archives in 5 year blocks when the most recent record is 20 years old.

(b) Work files have a 6 year life. The files should be closed out when the report is sent to Congress. The closed files should be kept in the office for 2 additional years, then retired to the FRC. They will be destroyed 6 years after closure, or after they have been in the FRC for 4 years.

Additional disposition information can be found in the **Disposition Guidance** section.



RECORDS DISPOSITION RECORDS
RECO-307

Records Disposition records cover those activities related to the retirement, archiving, and disposal of ERD office records. Documents include copies of completed Records Transmittal and Receipt forms (SF 135s) with attached box inventories; Request to Transfer, Approval, and Receipt of Records to the National Archives (SF 258s); Notice of Intent to Destroy *Records (NA 13001s); Reference Request - Federal Records Centers* (OF 11s); Facilities Services Request (EPA 5100-8s); and other related records.

Records Held By: These records are held by the Branch secretary or designee.

Primary Organization: Records Disposition records should first be organized in chronological order by fiscal year.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents for each accession number should be stapled together as a *records retirement package, including the SF 135, box content list, 5100-8,* and any related SF 258s or NA 13001s and OF 11s. Each set is kept in regular manila folders, or in hanging or expandable folders where needed, arranged in order by accession number.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance**

section.

RECO-307 Records Disposition Records FY 92
RECO-307 Records Disposition Records FY 91

Disposition Instructions

RECO-307s have the same life as the records to which they relate. All records disposition files should be kept until the office receives notice that the records have been destroyed or transferred to the National Archives. At that time, the records disposition records should be pulled from the files and destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

REGULATIONS, STANDARDS, AND GUIDELINES RECORDS
REGS-149

Regulations, Standards, and Guidelines records cover all files relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Documents include: drafts of proposed regulations and guidelines; the final regulations and guidelines; public and internal comments including concurring and dissenting opinions; and background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline.

Records Held By: These records are under the custodianship of the ERD program staff member assigned the task of developing the regulation. Whether the files making up this series are held in the central files or within the individual program staff's office, it is the responsibility of the program staff to ensure the proper handling and disposition of these records.

Primary Organization: Regulations, Standards, and Guidelines files should first be organized in alphabetical order by the name of the regulation being developed.

Secondary Organization: Files for each regulation should be organized according to the subject categories below.

1.0 Background Documentation
2.0 Technical Background Documentation
3.0 General Correspondence
4.0 Workgroup/Task Force Records
5.0 Meetings

6.0 Presentation/Briefing Materials
7.0 Red Border Review
8.0 OMB Review
9.0 AX Review/Concurrence
10.0 Drafts/Comments/Responses
11.0 Proposed Regulation/Federal Register Notice
12.0 Final Regulation/Federal Register Notice

Folder Organization

Documents for each subject category are kept in regular manila folders or hanging folders, depending on the number of documents. For most subject categories, individual documents can be arranged in reverse chronological order. In cases where there are a larger number of documents, individual folders may be identified with special folder subjects or content descriptions rather than in strictly chronological order. These special folder subjects are determined by the staff preparing the folders to reflect individual work product preferences.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

REGS-149 Regulations, Standards, and Guidelines
SPCC-IP
1.0 Background Documentation
Vol. 1: Economic Impact Analysis

REGS-149 Regulations, Standards, and Guidelines SPCC-IP 2.0 Technical Background Documentation Vol. 1: Options Paper
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 3.0 General Correspondence Vol. 1: 1990
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 4.0 Workgroup/Task Force Records Vol. 1: SPCC Task Force Summary
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 4.0 Workgroup/Task Force Records Vol. 2: Committee #2 - State Regs. and Task Stds
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 5.0 Meetings
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 6.0 Presentation/Briefing Materials Vol. 1: Ashland Oil Spill Presentation - 6/88
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 7.0 Red Border Review

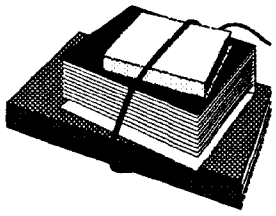
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 8.0 OMB Review
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 9.0 AX Review/Concurrence
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 10.0 Drafts/Comments/Responses Vol. 1: Draft 10/91
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 10.0 Drafts/Comments/Responses Vol. 2: Draft 10/91 - Comments #4-39
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 11.0 Proposed Regulation/Federal Register Notice
REGS-149 Regulations, Standards, and Guidelines SPCC-IP 12.0 Final Regulation/Federal Register Notice

Disposition Instructions

Published REGS-149s are permanent records. The files should be closed out upon completion of the rulemaking process, or upon approval of the guideline. The closed files should be kept in the office for 5 additional years, then retired to the FRC. They will be transferred to the National Archives 20 years after closure, or after they have been in the FRC for 15 years.

Unpublished REGS-149s have a 10 year life. The files should be closed out upon the decision not to publish the regulation, standard, or guideline. The closed files should be kept in the office for 3 additional years, then retired to the FRC. They will be destroyed 10 years after closure, or after they have been in the FRC for 7 years.

Additional disposition information can be found in the **Disposition Guidance** section.



SPECIAL STUDIES RECORDS
SPCL

Special Studies records consist of two record series: EPA Series 005a - Final Reports Resulting from Special Studies, and EPA Series 005b - Special Studies Supporting Files.

Records Held By: These records are under the custodianship of the ERD program staff member assigned the special study. Whether the files holding study records are held in central filing stations or within the individual program staff's office, it is the responsibility of the program staff to ensure the proper handling and disposition of these records.

SPCL-005a

Final Reports Resulting from Special Studies Records

Final Reports Resulting from Special Studies records consist of the final report of a special study or survey, produced in-house or developed by a special Agency Task Force. Files do not include final deliverables produced by contractors which are filed in CONT-258 -- Final Reports Resulting from Contractor Studies.

Primary Organization: Final Report records should first be organized in alphabetical order by the name of the special study or project.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Each final report should be placed in an expandable folder, or binder, where applicable.

Folder Labels

Each file folder or binder has a label identifying the record and describing the folder contents (usually the name of the report). An example of how these files are to be labeled is given below. Additional information on label format is found in the **Folder Label Guidance** section.

SPCL-005a Final Reports Underground Storage Tanks Options Paper June 1992

Disposition Instructions

SPCL-005a's are permanent records. The files should be closed out upon completion of the study, then retired to the FRC. The closed files will be transferred to the National Archives 20 years after closure. Additional disposition information can be found in the **Disposition Guidance** section.

SPCL-005b

Special Studies Supporting Records

Special Studies Supporting records relate to those activities involved in conducting special studies or surveys, whether performed in-house and/or by contractors. Documents include working papers, drafts, meeting and workgroup notes, background materials, and other material accumulated during the course of the study. Copies of contract related documents that are pertinent to the study and copies of interim deliverables may also be filed in this series. However, most contract management material should

be filed in the contract file for that specific work assignment or delivery order.

Primary Organization: Special Studies Supporting records should first be organized in alphabetical order by the project or special study name.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Documents for each special study are filed in expandable or individual file folders in reverse chronological order. In those cases where there are a larger number of documents, individual folders may be identified with special folder subjects or content descriptions rather than in strictly chronological order. These special folder subjects are determined by the staff preparing the folders to reflect individual work product preferences.

Folder Labels

Each expandable and individual file folder has a label identifying the folder and its contents. Where needed, individual folders may be identified by the special subject contents held in the folder. Examples of how these files are to be labeled are given below. Additional information on label format may be found in the **Folder Label Guidance** section.

SPCL-005b Special Studies Support Records Underground Storage Tanks News clippings/Journal articles
SPCL-005b Special Studies Supporting Records Underground Storage Tanks Correspondence

Disposition Instructions

SPCL-005b's have a 7 year life. The files should be closed out upon completion of the study. The closed files should be kept in the office for at least 1 additional year, then retired to the FRC. They will be destroyed 7 years after closure, or after they have been in the FRC for 6 years. Additional disposition information can be found in the **Disposition Guidance** section.

SUPERFUND SUPPORT AGREEMENT RECORDS
SUPT-001b

Superfund Support Agreement records include 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. 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.

The structure described in this section applies to Interagency Agreements (IAGs) that establish a separate funding vehicle. Other types of IAGs utilize existing contracts and require slightly different structures. For IAGs where an outside Agency "buys into" an existing EPA contract, two record series must be used: CONT-202b, for the contract-specific records; and SUPT-001b, for the IAG-specific records. For IAGs where EPA buys into an existing contract at another Agency, only SUPT-001b records must be maintained by the EPA Project Officer. The Project Officer for the other Agency is responsible for maintaining the official contract records for the IAG which will be used for all cost recovery procedures.

Records Held By: Superfund Support Agreement records are held by the Project Officer for the specific agreement. All such documents kept in ROB are considered supporting documentation, or controlled reference copies. The official records for the IAG currently in place in ROB are held by the U.S. Coast Guard (USCG), as described in the **Memorandum of Understanding** between the USCG and the EPA.

Primary Organization: SUPT-001b records should first be organized numerically by IAG number.

Secondary Organization: The files for each IAG should be kept in alphabetical order by Site name. Before the first Site file, there should be a folder containing the overall, "umbrella," IAG documentation.

Folder Organization

Superfund Support Agreement records are kept in a hanging file folder. Site-specific IAG records are kept in a red file folder within the hanging file for each Site. This folder contains the Procurement Requests and other IAG documentation for that Site. This file folder constitutes another major break for the Site file (see **TREF-008b -- SF Site Files** for a description of the major breaks in a Superfund Site file). Documents are kept in reverse chronological order.

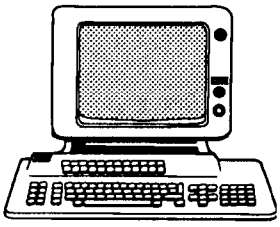
Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

SUPT 001b Superfund Support Agreement IAG # *xxxxxxxxx* FY 93
SUPT-001b Superfund Support Agreement Martinsburg Refinery IAG # *xxxxxxxxx1* Acct # *xxxxxxxxxx*
SUPT-001b Superfund Support Agreement Martinsburg Refinery IAG # *xxxxxxxxx2* Acct # *xxxxxxxxxx*

Disposition Instructions

SUPT-001b's have a 7 year life. The files should be closed out at the end of the agreement (end of fiscal year). Remove the red IAG files from the Site files. The closed files should be kept in the office for at least 1 additional year, then retired to the FRC. They will be destroyed 7 years after file closure, or after they have been in the FRC for 6 years. It is the responsibility of the EPA Project Officer for the IAG to ensure that the USCG is maintaining the necessary documentation and is following the proper records handling and disposition procedures. Additional disposition information can be found in the **Disposition Guidance** section.



SYSTEM RECORDS
SYST

System records for ERD cover information systems developed for ERD operations. These systems may have been developed by and/or are maintained by contractors, but are the responsibility of specific ERD staff. At publication, ERD systems are covered by the following record series: EPA Series 059 -- Oil and Hazardous Materials Technical Assistance Data System (OHMTADS); EPA Series 060 -- Emergency Response Notification System (ERNS); EPA Series 061 -- Continuous Release Emergency Response Notification System (CR-ERNS); EPA Series 089 -- Information Tracking Systems; and EPA Series 090 -- Administrative Support Databases. As additional ERD systems are developed or existing systems undergo major functional changes, assessments will need to be made to determine under which series the systems fall, or if additional series are needed.

Records Held By: These records are the responsibility of the ERD program staff person assigned to monitor or oversee each system. In most cases, day-to-day operation and maintenance of these systems are performed by an outside contractor. Pertinent system records are maintained by the contractor, who is responsible for ensuring that all systems documentation and data records are handled properly. It is the responsibility of the system monitor to convey EPA records management requirements to the contractor so that the contractor knows how the records must be delivered to EPA at close-out. In addition, in the event that a system is discontinued, the ERD system monitor is responsible for implementing final disposition of specific system records as described below.

Primary Organization: System records should first be organized alphabetically by system name.

Secondary Organization: Records should then be organized under the following record series.

SYST-059 **OHMTADS**

OHMTADS supports OSWER's response program operations. The database contains profiles of approximately 1,400 oils and hazardous substances. The profiles provide chemical identification information including names, uses, effects, and descriptions of characteristics and physical properties. In addition, the data system contains lists of regulations covering production, use, or distribution of chemicals.

OHMTADS information is available in a variety of formats, including online, diskette, microfilm, magnetic tape, and CD-ROM. All online users must access the database through one of several commercial vendors. Magnetic tape versions of the data system are available through the National Technical Information Service.

OHMTADS is maintained by the Oil Pollution Response and Abatement Branch (OPRAB), which is directly responsible for ensuring the proper handling and disposition of all records series and series items that comprise the records for OHMTADS. Disposition instructions for program management files and contract records (defined below) are found in the **Disposition Instructions** sections of the referenced record series.

Disposition instructions for other systems records are found in the **Disposition Instructions** section of this record series.

Folder Organization

OHMTADS records can include several record series. System design and development records and operational records, such as requirements analyses, input files, or user's guides, should be filed under this record series, SYST-059e -- OHMTADS Supporting Documentation.

Background material, such as newspaper clippings or journal articles, and supplementary material, such as meeting notes, briefing packages, or presentations, are considered program management material and should be filed under PROG-006b -- Program Management Files of Branch Chiefs and Below (see **PROG-006 -- Program Management Files**).

Since the ERD system monitor acts as the Work Assignment Manager for the task of developing and maintaining the system, specific contract-related material generated in the course of carrying out this function should be filed under CONT-202c -- Contract WAM/DOPO Records (see **CONT-202 -- Contract Records**).

Documents for each of these record series are kept in regular manila folders within individual hanging file folders. Each set of documents should be kept in a separate folder in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

For Supporting Documentation Files:

SYST-059e OHMTADS Supporting Documentation Requirements Analysis June 1985
SYST-059e OHMTADS Supporting Documentation User's Manual January 1987

For Program Management Files:

PROG-006b Program Management Files OHMTADS Presentations October 1991
PROG-006b Program Management Files OHMTADS Meetings October 1991

For Contract Files:

CONT-202c WAM/DOPO Records OHMTADS 68-C2-0107 1.0 Work Assignment Records Vol. 4 Workplans	1-022-O ICF
CONT-202c WAM/DOPO Records OHMTADS 68-C2-0107 2.0 Work Assignment Correspondence Vol. 2 Contractor Correspondence	1-022-O ICF

Disposition Instructions

a. OHMTADS Electronic Software Programs. Break software programs when each major version is discontinued and/or when superseded by routine software updates. Maintain previous version on tapes or cartridges for 1 year (following required procedures outlined in **NDPD's Operational Policies Manual**), then erase by degaussing. For routine updates, delete the affected program components after quality assurance check is performed.

b. Input. Break input systems files according to instructions for EPA Series 171 - Input/Source Records (See Appendix C) and all other material according to EPA Series 008 - Technical Reference Material. Follow disposition instructions for related records.

c. Electronic Data. Break file when information is submitted to commercial vendors for distribution. Transfer current data sets to NDPD tapes. Instruct NDPD to hold tapes for 1 year, then erase by degaussing.

d. Outputs and Reports. File with appropriate case file or related records. Follow file break and disposition instructions for related records.

e. Supporting Documentation. Break file when each major version of the software is discontinued. Keep in office at least 1 year after file break, then transfer to the 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 system requirements, design documents, development documents,

software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

The OPRAB staff person is responsible for ensuring proper disposition of system records according to items a, c, and e. All related records held or produced in all appropriate offices should be destroyed under items b and d. Additional disposition information can be found in the **Disposition Guidance** section.

SYST-060

ERNS

ERNS is a national computer database used to store information on releases of oil and hazardous substances. Reports can be entered initially at the National Response Center (NRC) or at an EPA Regional office. The data are then transmitted electronically to the National Transportation Systems Center, where they become part of the national ERNS database. In addition, each EPA Region maintains its own Region-specific database which is a subset of the national database.

ERNS is under the control of OPRAB, which is directly responsible for ensuring the proper handling and disposition of all records series and series items that comprise the records for ERNS. Disposition instructions for program management files and contract records (defined below) are found in the **Disposition Instructions** sections of the referenced record series. Disposition instructions for other systems records are found in the **Disposition Instructions** section of this record series.

Folder Organization

ERNS records can include several record series. System design and development records and operational records, such as requirements analyses, input files, or user's guides, should be filed under this record series, SYST-060e ERNS Supporting Documentation.

Background material, such as newspaper clippings or journal articles, and supplementary material, such as meeting notes, briefing packages, or presentations, are considered program management material and should be filed under PROG-006b -- Program Management Files of Branch Chiefs and Below (see **PROG-006 -- Program Management Files**).

Since the ERD system monitor acts as the Work Assignment Manager for the task of developing and maintaining the system, specific contract-related material generated in the course of carrying out this function should be filed under CONT-202c -- Contract WAM-DOPO Records (see **CONT-202 -- Contract Records**).

Documents for each of these record series are kept in regular manila folders within individual hanging file folders. Each set of documents should be kept in a separate folder in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

For Supporting Documentation Files:

SYST-060e ERNS Supporting Documentation System Design Document May 1989
SYST-060e ERNS Supporting Documentation User's Manual January 1993

For Program Management Files:

PROG-006b Program Management Files ERNS Presentations October 1991
PROG-006b Program Management Files ERNS Meetings OMB Meeting - September 1990

For Contract Files:

CONT-202c WAM/DOPO Records ERNS 68-C2-0107 2.0 Work Assignment Correspondence Vol. 1 Internal WA Correspondence	1-012-C ICF
CONT-202c WAM/DOPO Records ERNS 68-C2-0107 3.0 Contractor Performance Records Vol. 1 Progress Reports	1-012-C ICF

Disposition Instructions

a. ERNS Electronic Software Programs. Break software programs when each major version is discontinued and/or when superseded by routine software updates. Maintain previous version on tapes or cartridges at NDPD for 3 years (following required procedures outlined in **NDPD's Operational Policies Manual**). After 3 years, erase the tapes by degaussing. For routine updates, delete the affected program components after quality assurance check is performed.

b. Input. Break file when information has been entered into the system or when regional input database has been electronically transferred into the national database and quality assurance of all (paper and electronic) data has been verified. Hold paper input and disposition according to related records. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the database, whichever is later.

c. Electronic Data. Break data file at the end of the fiscal year. Transfer current data sets to NDPD tapes according to NDPD policies. 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 the NRC. Instruct NDPD to hold tapes for 30 years, then destroy data through degaussing.

d. Outputs and Reports. Break output systems when data has been transferred to national database. Delete update output systems when no longer required to support reconstruction of, or serve as a backup to, the database, whichever is later. File ad hoc reports with

appropriate case file or related record. Follow file break instructions for related record. Disposition ad hoc output reports according to instructions for related records.

e. Supporting Documentation. Break file when each major version of the software is discontinued. Keep in office at least 1 year after file break, then transfer to the 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 system requirements, design documents, development documents, software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

The OPRAB staff person is responsible for ensuring proper disposition of system records according to items a, c, and e. All related records held or produced in all appropriate offices should be destroyed under items b and d. Additional disposition information can be found in the **Disposition Guidance** section.

SYST-061

CR-ERNS

CR-ERNS is an information system that serves as the central depository for all continuous release information received by the EPA Regions. The national database is housed at the National Transportation Systems Center (NTSC) in Cambridge, MA. 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.

CR-ERNS is under the control of the Response Standards and Criteria Branch (RSCB), which is directly responsible for ensuring the proper handling and disposition of all record series and series items that comprise the records for CR-ERNS. Disposition instructions for program management files and contract records (defined below) are found in the **Disposition Instructions** section of the referenced record series. Disposition instructions for other system records are found in the **Disposition Instructions** section of this record series.

Folder Organization

CR-ERNS records can include several record series. System design and development records and operational records, such as requirements analyses, input files, or user's guides, should be filed under this record series, SYST-061e -- CR-ERNS Supporting Documentation.

Background material, such as newspaper clippings or journal articles, and supplementary material, such as meeting notes, briefing packages, or presentations, are considered program management material and should be filed under PROG-006b -- Program Management Files of Branch Chiefs and Below (see **PROG-006 -- Program Management Files**).

Since the ERD system monitor acts as the Work Assignment Manager for the task of developing and maintaining the system, specific contract-related

material generated in the course of carrying out this function should be filed under CONT-202c -- Contract WAM/DOPO Records (see **CONT-202 -- Contract Records**).

Documents for each of these record series are kept in regular manila folders within individual hanging file folders. Each set of documents should be kept in a separate folder in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

For Supporting Documentation Files:

SYST-061e CR-ERNS Supporting Documentation Requirements Analysis February 1988
SYST-061e CR-ERNS Supporting Documentation Programmer's Manual August 1990

For Program Management Files:

PROG-006b Program Management Files CR-ERNS Presentations October 1991
PROG-006b Program Management Files CR-ERNS Meetings OMB Meeting - September 1990

For Contract Files:

CONT-202c WAM/DOPO Records CR-ERNS 68-C2-0107 3.0 Contractor Performance Records Vol. 2 Monthly Vouchers	1-012-C ICF
CONT-202c WAM/DOPO Records CR-ERNS 68-C2-0107 3.0 Contractor Performance Records Vol. 3 Contractor Performance Evaluation	1-012-C ICF

Disposition Instructions

a. CR-ERNS Electronic Software Program. Break software programs when each major version is discontinued and/or when superseded by routine software updates. Maintain current version on tapes or cartridges for 3 years (following required procedures outlined in **NDPD's Operational Policies Manual**). After 3 years, destroy the data on the tapes by degaussing. For routine updates, delete those program components undergoing revision after quality assurance check has been performed.

b. Input. Break file when information has been entered into the system or when regional input database has been electronically transferred into the national database and quality assurance of all (paper and electronic) data has been verified. Hold paper input and disposition according to related records. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the database, whichever is later.

c. Electronic Data. Break data file at the end of the fiscal year. Transfer current data sets to NDPD tapes according to NDPD policies. Instruct NDPD to hold tapes for 30 years, then destroy data through degaussing.

d. Outputs and Reports. Break output systems when data has been transferred to national database. Delete output systems when no longer required to support reconstruction of, or serve as a backup to, the database, whichever is later. File ad hoc reports with appropriate case file or related record. Follow file break instructions for related record. Disposition ad hoc output reports according to the instructions for related records.

e. Supporting Documentation. Break file when each major version of software is discontinued. Keep in office at least 1 year after file break, then transfer to the 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 system requirements, design documents, development documents,

software source code, data system specifications, file specifications, code translations, record layouts, user guides, and output specifications. Destroy when 15 years old.

The RSCB staff person is responsible for ensuring proper disposition of system records according to items a, c, and e. All related records held or produced in all appropriate offices should be destroyed under items b and d. Additional disposition information can be found in the **Disposition Guidance** section.

SYST-089

INFORMATION TRACKING SYSTEMS

This record series covers a broad range of primarily PC-based systems used to track the processing of permits, applications, reports, approvals, and other actions relating to records that are disposable under the NARA General Records Schedules or an approved Agency records disposition schedule.

At publication, in ERD, the Local Government Reimbursement Tracking System would fall under SYST-089.

Folder Organization

System records are kept in regular manila folders within individual hanging file folders. Each file folder contains records in a single subject category, determined by the responsible staff member as needed. Within each subject category, documents are arranged in reverse chronological order. Records can include design and development documents, user guides, input records, output records, etc.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

SYST-089e Information Tracking Systems Local Gov't Reimbursement Tracking System System Design Document
SYST-089e Information Tracking Systems Local Gov't Reimbursement Tracking System User's Manual

Disposition Instructions

a. Electronic Software Programs. Break software programs when superseded by routine software updates. Delete affected program components after quality assurance check is performed.

b. Input. Break input file according to instructions for EPA Series 171 -- Input/Source Records (see Appendix C). Follow disposition instructions for related records.

c. Electronic Data. Break file when superseded. Maintain individual records for at least 2 years after completion of action and then delete when no longer needed. If tracking system is used as finding aid to the records, maintain individual entries as long as the records are retained or as long as finding aid is needed, whichever is longer.

d. Outputs and Reports. File with appropriate case files or related records. Follow file break instructions for related records. Follow disposition instructions for related records.

e. Supporting Documentation. Break file when superseded. Keep in office for up to 2 years after file break, then transfer to the FRC. Files will be destroyed when 15 years old.

Additional disposition information can be found in the **Disposition Guidance** section.

SYST-090

ADMINISTRATIVE SUPPORT DATABASES

Administrative Support Databases include a broad range of primarily PC-based systems used to support administrative or housekeeping functions, which contain information derived from paper copy records or from other electronic data systems, which are disposable under the NARA General Records Schedules or an approved Agency records disposition schedule. Examples of these databases include budget preparation, property management, program planning, spending, accounting, activity reporting, and resource allocation systems.

At publication, in ERD, the Records Management Database System (RMDS) would fall under SYST-090.

Folder Organization

System records are kept in regular manila folders within individual hanging file folders. Each file folder contains records in a single subject category, determined by the responsible staff member as needed. Records

can include design and development documents, user guides, input records, output records, etc.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

SYST-090e Administrative Support Databases ERD RMDS System Design Document Jan. 1993
SYST-090e Administrative Support Databases ERD RMDS User's Manual Feb. 1993
SYST-090e Administrative Support Databases ERD RMDS Training Manual Feb. 1993

Disposition Instructions

a. Electronic Software Programs. Break software programs when superseded by routine software updates. Delete affected program components after quality assurance check is performed.

b. Input. Break input file according to instructions for EPA Series 171 - - Input/Source Records (see Appendix C). Follow disposition instructions for related records.

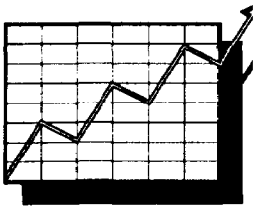
c. Electronic Data. Break file when superseded. Maintain individual records for at least 2 years after completion of action and then delete when no longer needed. If tracking system is used as finding aid to

the records, maintain individual entries as long as the records are retained or as long as finding aid is needed, whichever is longer.

d. Outputs and Reports. File with appropriate case files or related records. Follow file break instructions for related records. Follow disposition instructions for related records.

e. Supporting Documentation. Break file when superseded. Keep in office for up to 2 years after file break, then transfer to the FRC. Files will be destroyed when 15 years old.

Additional disposition information can be found in the **Disposition Guidance** section.



TRACKING AND CONTROL RECORDS
TRKG-168

Tracking and Control records include logs, registers, and other records in hard copy or electronic form that are used to control or document the status of correspondence, reports, or other records. Logs may show the receipt date, date of reply, office of referral, nature and purpose of request, and other processing information.

Records Held By: These records are maintained by the Branch secretary or designee.

Primary Organization: Control logs should first be organized in chronological order by fiscal year.

Secondary Organization: Listings in each fiscal year should be maintained in chronological order by date of receipt.

Folder Organization

Listings are kept in a 3-ring notebook.

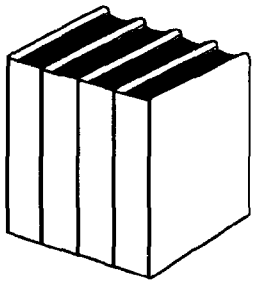
Folder Labels

The notebook is identified on the front cover as "Controlled Correspondence Log."

Disposition Instructions

TRKG-168s are disposable records. They may be destroyed when related records (FOIA-034, CCOR-141, CCOR-146 records) are destroyed, or when no longer needed, whichever is later. Additional disposition information can be found in the **Disposition Guidance** section.

TECHNICAL REFERENCE



TECHNICAL REFERENCE
TREF

Technical reference material consists of the technical or general reference files maintained by the Branches to enable the program offices to perform their missions. The technical reference material in ERD consists of four categories: EPA Series 008a -- Technical Reference; EPA Series 008b -- Superfund Site Files; EPA Series 008c -- Oil Spill Response Files; EPA Series 008d -- Federal Response Plan Incident Files.

Superfund Site files, Oil Spill Response files, and Federal Response Plan (FRP) Incident files are maintained in the central files and in the working files of individual program staff. The official copies of these files are maintained in the Regions or by other offices. Headquarters staff maintain reference copies only. **As such, these files are considered non-record material.**

TREF-008a

Technical Reference Material

Technical reference material consists of the technical or general reference files maintained by the Branches to enable the program to perform its mission. Collections may be on general environmental research topics or issues, the program mission, or management and administrative questions. Files or collections may consist of items such as technical publications, manuals, extra copies of issue papers, reports, or studies originated by or for the program; information copies of studies produced by other programs; journal articles; books; video tapes; photographs; and other material regardless of medium.

In addition to the items maintained on the shelving units, there may be reference file collections in the central files. These reference collections consist of hanging file folders containing information on a specific subject, such as the chemical reference files, and reference copies of Underground Storage Tank (UST) files, and International Response files.

Technical reference material is non-record material.

Records Held By: Technical reference files are under the custodianship of the program staff, if maintained by individual staff members, or the program secretary, if maintained in the central files area.

Primary Organization: Program technical reference files should be organized in alphabetical order by subject categories. These subject categories should be determined by the program staff who work with the material. For a list of the proposed subject headings and organization, see the **Technical Reference Material: Subject Headings and Definitions** section.

Secondary Organization: See **Folder Organization** below.

Folder Organization

Books and notebooks will be kept on the shelving units. Smaller documents will be grouped into magazine file holders by subject category. These holders also will be kept on the shelves.

Folder Labels

Each file holder will have a label identifying the general subject category. Examples of how these holders are to be labeled are given below. Individual documents will have a label attached to the item identifying it.

TREF-008a Technical Reference Miscellaneous Training/Orientation
TREF-008a Technical Reference Community Relations
TREF-008a Technical Reference Ground Pollution

Examples of how these items are to be labeled are given below. Additional information on label format can be found in the **Folder Label Guidance** section.

TREF-008a Technical Reference Coping with an Oiled Sea Oil Cleanup Remedies
TREF-008a Technical Reference Clean Air Act Amendments of 1990: Executive Summary Air Pollution

Disposition Instructions

TREF-008a's are disposable records. They are to be retained until they are obsolete or superseded, at which point they are to be destroyed. Additional disposition information can be found in the **Disposition Guidance** section.

TREF-008b

Superfund Site Files

The Superfund Site files in the Response Operations Branch (ROB) consist of materials documenting removal actions and other response activities at Superfund sites throughout the EPA regions.

Records Held By: The ERD Superfund Site files are copies of official site records and are used by ERD/ROB staff for informational and reference purposes. The files are under the control of the Branch secretary when they are stored in the central files, or the program staff when they are maintained by individual staff members as working files. The official file copies of site files are maintained by the regional offices, which are responsible for ensuring their proper disposition.

Primary Organization: Superfund Site files should first be organized in numerical order by region.

Secondary Organization: Site files for each region should be organized in alphabetical order by state, and in alphabetical order by site name within each state.

Folder Organization

For each site file, documents are kept in regular file folders within hanging file folders and organized according to the subject categories below. Within each subject category, documents are arranged in reverse chronological order. A time log, located in the front of each file, indicates the start and end dates of response/removal actions.

1.0 Action Memos
2.0 Polreps

3.0 Miscellaneous
4.0 OSC Report
5.0 SUPT-001b Superfund Support Agreements (See **Supt-001b -- Superfund Support Agreements** for handling and disposition instructions for this record series.)

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional information on label formats can be found in the **Folder Label Guidance** section.

For the hanging file folder labels:

TREF-008b-SF Site Reg. 3/PA Son of Lansdowne Site Lansdowne, Delaware Co., PA FY 92

For the corresponding file folder labels:

Son of Lansdowne - SF Site 3/PA Lansdowne, Delaware Co., PA 1.0 Action Memo
Son of Lansdowne - SF Site 3/PA Lansdowne, Delaware Co., PA 2.0 Polreps

Disposition Instructions

TREF-008b's are disposable records. They are to be retained until they are no longer needed by the program office. At that time, they may be

disposed of in accordance with Agency disposition procedures for non-record material. Additional disposition information can be found in the **Disposition Guidance** section.

TREF-008c

Oil Spill Response Files

Oil Spill Response files consist of material on ERD responses to incidents under the Oil Pollution Act of 1990. Funding is provided through the U.S. Coast Guard. ERD/ROB staff members maintain files on oil spill response actions in their respective regions in the same manner as Superfund Sites.

There are two types of Oil Spill Response files maintained by ERD/ROB: a) files for Significant oil spills and, b) files for Secondary oil spills.

Significant spills are those of a magnitude great enough to warrant a removal or cleanup action.

Secondary spills are those for which no removal or cleanup action is deemed necessary; the files may consist of only a single Polrep per spill.

Records Held By: ERD/ROB's Oil Spill Response files are copies of official response files and are used by ROB staff for informational and reference purposes. The files are under the control of the Branch secretary when they are stored in the central files, or the program staff when they are maintained by individual staff members as working files. The official file copies of Oil Spill Response files are maintained by the Coast Guard, which is responsible for ensuring proper disposition.

Primary Organization: (a) Significant Oil Spill Response files should first be organized in numerical order by region; and (b) Secondary Oil Spill Response files should first be organized in chronological order by fiscal year.

Secondary Organization: (a) Significant Oil Spill Response files for each region should be organized in alphabetical order by state, and alphabetically by site within each state; and (b) Secondary Oil Spill Response files for each fiscal year should be arranged in numerical order by region.

Folder Organization

(a) For each significant Oil Spill Response file, documents are kept in regular file folders within hanging folders, with the individual documents arranged according to the subject categories below. Within each subject category, documents are arranged in reverse chronological order. A time log, located in the front of each file, indicates the start and end dates of response/removal actions.

1.0 Polreps
2.0 Miscellaneous
3.0 OSC Report

(b) Secondary Oil Spill Response files are kept in regular file folders within hanging folders. Each hanging file folder contains files for one region. Within the regional folder, Polreps are arranged in reverse chronological order.

Folder Labels

Each folder has a label identifying the folder and its contents. Examples of how these files are to be labeled are given below. Additional

information on label formats can be found in the **Folder Label Guidance** section.

(a) For Significant Oil Spill Responses:

For the hanging file folder labels:

TREF-008c: Oil Spill Reg. 3/WV Martinsburg Refinery Spill Martinsburg, Berkeley Co., WV
TREF-008c: Oil Spill Reg. 4/GA Atlanta Oil Atlanta, Fulton Co., GA

For the corresponding file folder labels:

Martinsburg Refinery - Oil Spill3/WV Martinsburg, Berkeley Co., WV 1.0 Polreps
Staunton Exxon Storage Facility - Oil Spill, 3/VA Staunton, Augusta Co., VA 3.0 OSC Report

Examples of a subject category folder containing a large volume of documents are given below.

Staunton Exxon Storage Facility - Oil Spill, 3/VA Staunton, Augusta Co., VA 1.0 Polreps Vol. 1 #1-65
Staunton Exxon Storage Facility - Oil Spill, 3/VA Staunton, Augusta Co., VA 1.0 Polreps Vol. 2 #66-103

(b) For Secondary Oil Spill Responses:

For the hanging file folder labels:

TREF-008c: Oil Spills FY 1993 - Polreps
TREF-008c: Oil Spills FY 1992 - Polreps

For the corresponding file folder labels:

Oil Spills FY 1993 - Polreps Region 4
Oil Spills FY 1992 - Polreps Region 7 Vol. 1 Oct 91 - Mar 92
Oil Spills FY 1992 - Polreps Region 7 Vol. 2 Apr 92 - Sept 92

Disposition Instructions

TREF-008c's are disposable records. They are to be retained until they are no longer needed by the program office. At that time, they may be disposed of in accordance with Agency disposition procedures for non-record material. Additional disposition information can be found in the **Disposition Guidance** section.

TREF-008d

Federal Response Plan Incident Files

Federal Response Plan (FRP) Incident files consist of material related to EPA participation in federal disaster response actions as part of FEMA response teams. The resulting file may include numerous Superfund responses relating to any one particular incident.

Records Held By: ERD/ROB's FRP Incident files are copies of official response files and are used by ROB staff for informational and reference purposes. The files are under the control of the Branch secretary when they are stored in the central files, or the program staff when they are maintained by individual staff members as working files. The official file copies of FRP incidents are maintained by the regions which are responsible for ensuring proper disposition.

Primary Organization: FRP files should first be organized in chronological order by fiscal year.

Secondary Organization: FRP files for each fiscal year should be organized in alphabetical order by incident name.

Folder Organization

Documents for each FRP Incident file are kept in hanging file folder(s). Each set of regional and Headquarters documents are kept in regular manila folders arranged according to the subject categories below. Within each subject category, documents are arranged in reverse chronological order.

1. Headquarters Activities
2. Situation Reports
3. General Background

Folder Labels

Each folder has a label identifying the folder and the incident to which it pertains. Examples of how these files are to be labeled are given below. Additional information on label formats can be found in the **Folder Label Guidance** section.

For the hanging file folder labels:

TREF-008d - FRP Incident San Fran. Earthquake 1989
TREF-008d - FRP Incident Hurricane Andrew 1992

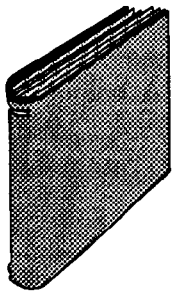
For the corresponding file folder labels:

FRP Incident Hurricane Andrew 1992 Headquarters Activities
FRP Incident Hurricane Andrew 1992 Sitreps
FRP Incident Hurricane Andrew 1992 General Background

Disposition Instructions

TREF-008d's are disposable records. They are to be retained until they are no longer needed by the program office. At that time, they may be disposed of in accordance with Agency disposition procedures for non-record material. Additional disposition information can be found in the **Disposition Guidance** section.

TECHNICAL REFERENCE MATERIAL: SUBJECT HEADINGS AND DEFINITIONS



TECHNICAL REFERENCE MATERIAL: SUBJECT HEADINGS AND DEFINITIONS

The ERD technical reference material has been divided into subject categories for ease of shelving and retrieval. Other subject categories can be added as needed.

On the shelves located throughout ERD, subject categories are indicated by labels. The documents are shelved according to the subject category. Within each category, records should be shelved in alphabetical order by title.

Subject Heading Definitions

Miscellaneous: This subject category contains several background items that are not related to a specific program, law, etc. The items are further divided into the following subheadings:

1) Distribution Copies
2) Journals
3) Federal Registers
4) Guidance
5) Directories/Brochures
6) Training/Orientation
7) Technology
8) Other

Professional Reference: This subject category contains guides for improving writing, speaking, and decision-making skills, as well as guidance on developing regulations, guidelines, etc.

Research & Development: This subject category contains reports of technical research and development efforts, as well as guidelines for conducting these experiments.

Community Relations:	This subject category contains items relating to the public's perception of EPA. Items are intended either for EPA use in dealing with the public, or for public distribution to inform them of various programs and their impact.
Emergency Response:	This subject category contains items dealing with the Emergency Response Team, the Environmental Response Team, and the National Response Team.
Ground Pollution:	This subject category contains items dealing with pollution in the ground.
Air Pollution:	This subject category contains items dealing with pollution in the air.
Water Pollution:	This subject category contains items dealing with pollution in water.
Oil:	This subject category contains items dealing with oil spills and releases. The items are further divided into the following sub-headings: 1) Response Preparedness 2) Cleanup Remedies 3) Oil Spills 4) Miscellaneous
Hazardous Substances:	This subject category contains items dealing with the release of hazardous substances other than oil or specific chemicals.
Solid Waste:	This subject category contains items dealing with the treatment and disposal of solid waste.
Chemicals:	This subject category contains items dealing with the release of chemicals.

Regulations: This subject category contains copies of specific regulations.

Superfund: This subject category contains items directly connected with the Superfund program. These items are further divided into the following categories:

1) Guidance
2) Legislation
3) Publications and Reports
4) Response Actions
5) Technology
6) SITE
7) Status
8) Training

RCRA: This subject category contains items directly related to RCRA.

FILING GUIDANCE AND PROCEDURES

FILING GUIDANCE

The real test of any filing system is not how quickly material can be filed, but how quickly it can be retrieved when needed. Therefore, care should be taken in processing, classifying, and filing material. The procedures described below should be followed in the identification, storage and retrieval of ERD files.

Filing Documents

All files are arranged according to the order indicated by the file structure and by the guidance provided in this manual for each record series. As a result of following this guidance, all files are separated according to their related record series. Within each series, most files are arranged in alphabetical order by file name. In some cases, where appropriate, files are arranged in chronological or numerical order. This organization holds true whether files are maintained in the central files or in individual workstations.

ERD staff are responsible for maintaining their own files. This responsibility involves:

- filing documents received or generated in the appropriate file folder;

- identifying, preparing, and organizing file folders according to the instructions and structure presented in this manual;

- assigning appropriate keywords to correspondence that is to be filed in the administrative files, before turning it over to the Branch secretary for filing; and

- ensuring proper disposition of their files.

Disposal of Extraneous Documents

In order to ensure the integrity of each file, it is important that staff review all documents going into the file. Those documents identified in the contents sections of the **Guidelines on the File Structure** are to be considered official records, unless noted otherwise. Any other key documents generated should be included in the appropriate folder according to the recommended folder organization for the record series.

There are certain extraneous documents that should not be included as official contents of the files. These documents are to be considered working papers and can be destroyed when no longer needed, or made part of the individual papers or technical reference of the staff person holding them. They should not be maintained in the official file folders. Examples of these extraneous documents include:

- Extra copies of paper documents (e.g., reports, letters, etc.). Extra copies are any copy past the second copy which contain no significant comments or notations.

- Letters and notes of a purely personal nature.

- EPA internal memoranda unrelated to the record series.

- EPA policy and guidance memoranda unrelated to the record series.

- Blank EPA forms, EPA letterhead, blank pads of paper, and phone pads.

- Telephone slips, phone notes, E-Mail messages that are facilitative and not substantive or decisional in nature.

- Empty file folders, empty envelopes without relevant markings or addresses, etc.

- Draft documents. Where a document has gone through several drafts, only the final draft should be included. Other draft versions should be included only if they contain information significant to the deliberative process that has not been included in the final version. The program staff member responsible for maintaining the official files must determine which commented draft copies are to be kept.

- Drafts that are not circulated for comment or review.

- Drafts that contain only editorial changes suggested by others.

There are other documents that may or may not be considered extraneous and can be included in the file after consultation with program and records management staff. These include:

- Rough versions or outlines of reports prepared for the record series.

- Draft documents circulated for review and comment.

- Draft documents that contain substantive changes, especially drafts that contain information significant to the deliberative process that has not been included in the final version.

- Extra copies of draft or final reports which contain notations and comments by reviewers. Where the comments and notations have been summarized and included in a separate official document, the extra copies may be extraneous.

- Research notes. Such working papers should only be included when they contain information significant to the deliberative process.

- Copies of reference materials and reports produced by non-ERD offices. Reference materials and reports should only be included when they contain information significant to the deliberative process.

- Blank non-EPA forms and non-EPA letterhead that may be evidential in nature.

Preparing the File Copies

The following preliminary steps should be taken in preparing documents for filing:

- Remove rubber bands, paper clips, pins, and other temporary fasteners.
- Determine that the document is complete, and account for all enclosures.
- See that parts of another file are not accidentally included.
- Mend or reinforce all torn or frayed papers with transparent mending tape .
- Destroy identical duplicate copies, except originals and official copies.
- Remove all copies of mail control forms and routing slips, except those which contain significant information.

File Maintenance

Neatness and orderliness are the essence of filing efficiency. Additional standards that will help to maintain the files in a neat and orderly manner include:

- **Keep Filing Current.** File material each day on an established schedule.

- **Maintain Loose Filing.** Loose filing of papers in subject file folders is recommended. Papers should not be fastened to the folders. Loose filing permits the removal of one or more pieces of paper from the folder without removing the entire folder from the file. Papers pertaining to an individual transaction should be stapled together in the upper left-hand corner before they are placed in the folder.

- **Keep Papers Straight.** When placing material in file folders, do not let the papers extend beyond the edges of the folders.

- **Avoid Overloading File Folder.** When a file folder gets full (about 3/4" thick), prepare a new one and indicate the dates or other identifiers covered on both the old and the new folders. The new folder should be placed in front of the old folder.

FILING PROCEDURES

The following procedures should be followed for the identification, storage, and retrieval of ERD administrative, program, and technical reference files. In the ERD office, there is no central file room to control access to and retrieval of documents. A designated records specialist, whose responsibility it is to coordinate the flow of documents between the program staff and the central files, is necessary to maintain control over the program records. This person would be responsible for ensuring that proper procedures, as described in this manual, are followed. The following procedures are based on the assumption that there will be such a position.

ADMINISTRATIVE FILES

The administrative (chron) files are maintained by the Branch secretary or designee. The secretary is responsible for classifying and filing the "yellow" concurrence copies of correspondence for the general administrative correspondence.

For program-specific correspondence, the program staff member who generates it should designate the appropriate subject keywords before giving the correspondence to the secretary for filing and keying into the Inmagic system.

Assignment of Keywords

Administrative files are maintained in monthly and subject files. Keywords assigned by the program staff member can be used to search for and identify the records in Inmagic. This is a very important process, for the ability to quickly and easily locate papers after they have been filed depends largely on the care and skill used in assigning keywords. Be consistent in classifying material for filing. The following general procedures will be helpful in determining the subject and keywords for an item.

- Read and analyze the first paragraph of the correspondence or other material to determine in which main file group it belongs. Determine the most outstanding or prominent subject, that is, the subject by which the papers are most likely to be requested. This subject may or may not be identical to what is stated in the subject line. Annotate the document with the selected keyword(s) in the upper right-hand corner, in pencil.

- Look for essential key words or phrases in the text of the correspondence.

- The subject line of the correspondence may be misleading or not inclusive enough. Do not determine the keywords on this basis alone.

File Creation

- On a scheduled basis, take correspondence from the "To Be Filed" tray located at the secretarial workstation. Enter RMDS and create a record in the administrative database for the document.

- The keywords should be written, in pencil, in the upper right-hand corner on the first page of the correspondence.

- Place the correspondence in its proper monthly or subject file folder, making sure that the latest dated piece is placed in the front of the folder.

File Circulation/Retrieval

File requests should be made through the Branch secretary who will retrieve the needed material. Checkout card (Figure 1), available at the secretarial workstation where the administrative files are kept, will be filled in when an item is borrowed. The card will be placed in the record's place until the record is returned.

File Return

Return file material to the box labeled "File Returns," located at the secretarial workstation where the files are stored. The Branch secretary will refile the material and remove the check out card. The information on the card will be crossed out and the card will be put back in the pile to be used again.

PROGRAM RECORDS

Program records in the central files are maintained by the Branch secretary and/or the Branch records specialist. The records specialist is responsible for ensuring that closed files are complete and properly filed after closure, and that all processing procedures are followed.

File Creation

In order to facilitate records filing and retrieval, standardized file structures and naming conventions for the program records have been developed. Program staff responsible for a particular record group, such as Policy Directives, Regulations, or Contracts, are responsible for ensuring that the files correspond to the conventions described in this manual. However, to ensure that standard conventions are used throughout the program, the following procedures should be used when a new programmatic activity is started.

1) When a new regulation, policy guidance/directive, contract, or Report to Congress is started, the responsible staff member should complete a Task Start-Up form (Figure 2) and give it to the ERD records specialist.

2) The records specialist will create a complete set of tabbed file folders for that particular record series. The file labels will correspond to the labeling conventions as described in the **Guidelines on the File Structure** section.

3) As material is collected or generated, the program staff person must create manila file folders to hold it. To create labels for the folders, the staff member enters RMDS and creates a record for each file folder, from which a folder label is generated. (See the **RMDS User's Manual** for label generation procedures). It is important to remember that each record in the RMDS Program Records database represents a folder, not an individual document. When a new document is to be placed in an existing file folder, a new RMDS record should not be created. However, if the

document is of particular significance, the staff member may enter RMDS and make an entry for this document in the TITLE field of that folder's database record. Instructions for using RMDS can be found in the **RMDS User's Manual.**

File Circulation/Retrieval

Checkout cards will be placed in all central filing stations. It will be the responsibility of ERD staff checking out files from the central files to fill out the card with name, date, and the name of the folder being checked out. This card is filed in place of the removed folder. When returning the folder, the card is removed and the checkout information crossed out.

1) Take a checkout card from the pile located at the Branch secretarial workstation.
2) Complete the card with name, date, record series name, major break (1.0, 2.0 etc.).
3) Place the checkout card in the hanging folder at the proper location, where the retrieved file was stored.

File Return

1) Return the file to the ERD records specialist.
2) (Records specialist): Replace the file in the correct central files location.
3) Cross out the information on the checkout card and return the card to the central card pile.

(Note: If there is no designated records specialist, the file user should complete Steps 2 and 3 above.)

File Closeout

Program staff:

For program staff closing out an active file prior to placement in the

central files: do not place the files directly in the central files. Contact the Branch records specialist.

1) Complete a Central Files Transfer form (Figure 3).
2) Print a listing of the program's records which have been entered into the RMDS database.
3) Remove the files from your file drawers and place them in a records box, in the prescribed order.
4) Place the Central Files Transfer form and the inventory list in the front of the box.
5) Contact the records specialist to retrieve the box/boxes for central filing.

Records specialist:

1) Using the RMDS inventory, ensure that:
   - all records in the inventory are in the box; and
   - all records in the box are included in the inventory.
2) Annotate the inventory list as needed (review the list with the program staff member; update the database).
3) Place files in alphabetical order, by folder label (as described in the **Guidelines on the File Structure** section), in the central files.

Quality Assurance

The ERD records specialist should conduct periodic reviews of program records in the central files.

1) See if there are any file folders out of order.

2) See if there are any empty folders, missing either a checkout card or note confirming that the folder does not contain any records.
3) Review the checkout cards for any with dates greater than 60 days. Check with user to determine if the document is still required or may be returned to the files.

TECHNICAL REFERENCE MATERIAL

Give Branch Technical Reference material to the ERD records specialist for classification and filing.

File Creation

Program staff can add new items to the Technical Reference collection. Staff members should fill out a Technical Reference Document Addition form (Figure 4) and give it to the records specialist. The subject category for the item is indicated on the form. Definitions of the subject categories can be found in the **Technical Reference Material: Subject Headings and Definitions** section. If the item does not fit into any of the existing subject categories, program staff may suggest a new category. The records specialist will then enter the information into the Inmagic database.

1) Through Inmagic, determine if the document is a duplicate of existing material. If it is, contact the appropriate program staff for instructions on whether to keep or discard the older version. If it is not a duplicate, determine the subject heading from the existing lists (or create a new category, if this is warranted).

2) Enter document identification information into RMDS.

3) Generate two labels from RMDS. Place one label on the front of the document (try not to cover any title information); place the second label on a checkout card.

4) Attach the checkout card to the document.

5) Place the document on the technical reference filing shelf, in the location determined by its subject category and title.

File Circulation/Retrieval

For technical reference material, a checkout card, which will contain an identifying label, will be attached to each document. The name and date of the person checking out the document are to be entered on the card. The card should then be placed where the document was filed.

File Return

When returning a document to the Technical Reference files, cross out the information on the card, reattach the card to the document, and replace the document.

Quality Assurance

The ERD records specialist should conduct periodic reviews of the Technical Reference files.

1) See if there are any documents without checkout cards.
2) Review the checkout cards for any with dates greater than 60 days. Check with user to determine if the document is still required.
3) Using an RMDS listing, conduct an inventory of selected categories to determine if documents/cards are present. If not, mark for further investigation.

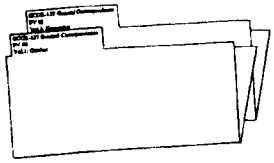
For technical reference material that has been superseded by a new version or edition:

1) Program staff should determine if the old version should be kept.
   a. If yes: create a separate label for the new version; treat as a unique item in the database. Note that an older version is also present.

   b. If no:
      1. Discard in accordance with disposition instructions for technical reference material.

      2. Complete a Technical Reference Document Removal Form (Figure 5) to have record deleted from the database

      3. Give completed form to the records specialist for processing.



FOLDER LABEL GUIDANCE

There are two different folder label categories for ERD files: Information labels and color-coded labels.

Information Labels

Every file folder will be identified by an information label describing the folder contents. Information labels will be placed in the upper left-hand corner of the folder. These labels will be 3-inch plastic labels for hanging folders and self-adhering, plain white labels for manila file folders.

Detailed procedures for generating file folder labels for program records through Inmagic are described in the **RMDS User's Manual.**

Label Format

The label format is designed so that each label line will clearly guide ERD staff in retrieving and replacing any file. Information for each label appears as follows:

- Activity/Series Group Code and Record Series Name
- File Name (Primary Organization Level)
- Folder Name (Secondary Organization Level)
- Subject (Category) Number and/or Subject (Category) Name
- Folder Volume Number and/or Folder Content Description

For example, by reading the labels illustrated below, ERD staff would know to first go to the area where the Policy Guidance/Directive Records are kept. Once they locate the POLI-007s, they would look under "D" to find the files for Drinking Water. They would then look for the 4.0 Workgroup/Task Force Records folders. The first volume under the subject break 4.0 contains the documents giving the task force members and the mailing list. The second volume contains the meeting notes for fiscal year 1989. Thus, volumes 1 and 2 would be filed after the last volume in the subject break 3.0 and before the third volume of break 4.0.

POLI-007 Policy Guidance/Directives Records Drinking Water 4.0 Workgroup/Task Force Records Vol. 1: Members and Mailing List
POLI-007 Policy Guidance/Directives Records Drinking Water 4.0 Workgroup/Task Force Records Vol. 2: Meeting Notes, 1989

Each ERD staff person is responsible for labeling the folders containing the records held in his files. The sample labels described in the **Folder Labels** section of each record series can be a helpful reference in preparing these labels. A label report program is available in RMDS. The **RMDS User's Manual** provides instructions on entering data into the database and generating the labels.

Color-Coded Labels for Disposition

A colored, self-adhering label with the last two digits of the fiscal year will be used to indicate that a program file has been closed according to

the appropriate disposition instructions. The date will indicate the fiscal year in which the files were closed out. This label will be placed in the upper right-hand corner of each folder of the closed file.

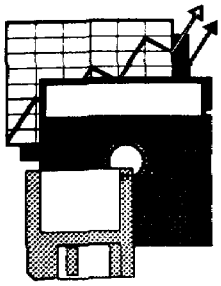
Color-Coded Labels for CBI Material

A red, self-adhering, circular label is used to indicate that a folder contains Confidential Business Information (CBI) documents or other sensitive material. This red dot label is placed in the upper right-hand corner of the folder.

CONFIDENTIAL BUSINESS INFORMATION (CBI) AND SENSITIVE DOCUMENT HANDLING GUIDANCE

Identification and Handling

Any Confidential Business Information (CBI) and sensitive documents within ERD files will not be segregated from other file material, with the exception of Personnel Evaluation Files held in the Office supervisor's office, and NCP Product files, held in separate locked file cabinets under the control of OPRAB. It is the responsibility of all ERD staff to ensure the proper handling of all CBI material and other sensitive documents, and to ensure that any work space where CBI material is stored is under lock and key.



SLIPSHEET GUIDANCE

The following guidelines are for the use and production of slipsheets identifying the availability and location of special records and cross-reference documents.

Identification

Activities in the ERD offices may generate records that require special handling. Such records fall into two categories:

- **Special Records.** Special records are those documents that do not physically fit into or should not be stored in the site file folder. Examples include: non-standard size (larger than 8½" x 14" or wider/deeper than 3") documents, maps, audio-visual materials (slides, audio tapes, etc.), and electronic records (magnetic tapes, floppy disks, etc.).

- **Cross-References.** Often documents are submitted that contain items which could be filed in more than one activity/series group. When this occurs, the document is to be filed in the file to which it most applies, and a cross-reference made to the other applicable areas. This should be done only if necessary.
  (Note: If the document in question is only a few pages, make a copy and file it in the related areas.)

Handling and Filing

Several EPA offices within the Superfund program have established some standardization in slipsheet formats for records requiring special handling. These standard slipsheets are color-coded to allow easy identification

within the files by all file users. The color-codes are as follows:

- Special Record slipsheets (Figure 6) are produced in green.
- Cross-Reference slipsheets (Figure 7) are produced in blue.

Slipsheets are placed in the files to replace the documents they represent. Each slipsheet is to be filed in the same place in the folder where its replacement document would have been filed. If a file folder does not exist for a slipsheet, one should be established just as it would have been for the document it is replacing.

Production and Citation Format

Slipsheets may be produced by photocopying the appropriate forms found in Appendix A of this manual and completing the information with a typewriter or word processor using 12 pitch type or larger, or printed by longhand using black ink.

Information supplied on these slipsheets should include the following (where applicable) and be written in this sequence:

- Media (where applicable), size (where applicable), and media type.
- Document title or description.
- Author (where applicable).
- Date.
- Synopsis (where needed).

Example

SPECIAL RECORD SLIPSHEET

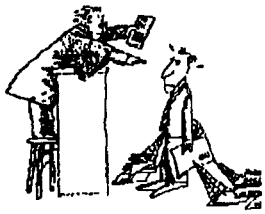
Document Description:

8 1/2" x 14" Negative camera-ready copy -- Federal Facility Response Plan
(SPCC Phase II).

Is a Special Record Document and is Filed/Located:

ERD/OPRAB Program Staff.

DISPOSITION GUIDANCE



DISPOSITION GUIDANCE

Records disposition refers to those actions taken regarding records no longer needed in current office space. The action will be retirement to the FRC or destruction. Each ERD staff member is responsible for ensuring the proper disposition of his or her files. This involves routinely closing out the files in accordance with the instructions given for the record series to which the files belong. This process of closing out files is referred to as file closure or "breaking the file."

Disposition Authority

The disposition of ERD's administrative and program records is controlled under several authority numbers in the EPA Records Control Schedules. The ERD File Structure Disposition Guidelines (Tables 1 and 2) can assist ERD staff with their close-out review. By locating the record series code for each set of files being reviewed, ERD staff can quickly identify the file break milestone for the records, how long they should be held in the office prior to disposition, what disposition action to take (retirement or destruction), and the total retention value of the files.

The records schedules contained in Appendix C of this manual are draft disposition schedules. They may be used for retiring records but not for destroying/recycling them.

Disposition Procedures

An annual review of all ERD files should be made to determine what files are to be declared closed. This review should take place at the end/beginning of each fiscal year. At that time, for program records, a red label indicating the fiscal year of closure will be placed on all closed files. For administrative files, Record Closure forms (Figure 8) should be filled

out providing information on each closed-out series. The information on this form will be used to prepare inventories of the records for disposition. The period of time the closed records must be retained in the office before they are retired to the FRC or destroyed will be entered in the appropriate place on the form. This form should be kept with the group of closed files since these files will be held in the office for designated periods of time before final disposition.

Example 1: FY 1992 Travel Expense Records
Date of Closure: 9/30/92
Office Retention Period: 3 years
Destruction Date: 10/1/95

Example 2: FY 1992 General Correspondence
Date of Closure: 9/30/92
Office Retention Period: 1 year
Send to FRC: 10/1/93

During the annual close-out review, it also will be determined which closed files are eligible for retirement to the FRC and which closed files are eligible for destruction. **Remember, the disposition action is based on the "year of closure," not the year of creation. For example, records with a 5 year retention value will be destroyed 5 years after the year of closure.**

The following sections provide specific instructions on the steps to follow to properly disposition closed files.

Records Destruction

Those files that have passed their legal retention value are to be prepared for recycling by removing the paper records from their folders and placing them in the appropriate recycling containers.

Sensitive documents and CBI files are to be shredded through the EPA Headquarters Witness Disposal program. To obtain witness disposal for these documents, refer to the procedures outlined in the OSWER handout, "How to Obtain Witness Disposal for Your Records," available from the OSWER Records Management Officer (RMO).

Records Retirement

The Information Management Services Division (IMSD) has the responsibility to oversee the Agency's records disposition program. It has prepared a handbook, ***Using the Federal Records Center: A Guide for Headquarters Staff,*** which details the steps to take in the disposition of records.

All forms referenced in these instructions are available from the OSWER Records Management Officer (OSWER RMO), the Headquarters Records Officer (HQ RO), or the EPA supply store.

To prepare for the retirement of inactive records, obtain a copy of this handbook and the following supplies:

- Records retirement boxes (GSA 8115-00-290-3379)
- 2-inch strapping (filament) tape (GSA 7510-00-159-4450)
- SF 135 Records Transmittal and Receipt forms
- Black felt-tip markers (GSA 7520-00-973-1059)

(1) Prepare the files for boxing.

- Separate the records that are eligible for retirement according to their record series. In other words, Permits can only be boxed

with Permits, Enforcement Cases with Enforcement Cases, Contract files with Contract files, and so forth.

- Prepare the material for future recycling by removing all plastic products (rubber bands, inserts, notebooks, label protectors, etc.). Metal binder clips, staples, and paper clips do not have to be removed.

- Make sure the records are in folders. Items in notebooks should be removed and placed in accordion folders.

(2) Box the records.

- Prepare the boxes according to the diagram (Sample 1) in the OIRM handbook, ***Using the Federal Records Center: A Guide for Headquarters Staff.***

- Pack the folders into records storage boxes. The labels should face the front of the box, which is the end opposite the stapled end. Do not overstuff the boxes.

- In pencil, number the boxes consecutively <u>for each series</u>, on the front of the box. For example, the first box in a set of 10 would be numbered 1/10; the second, 2/10; and so forth to 10/10.

(3) Prepare a box inventory.

- List each folder in each box.

- Make sure that the inventory matches the box number. Remember, the ability to retrieve the records will depend on the inventory. A sample of such an inventory is given on page 30 of the OIRM handbook.

- Make 5 copies of the box inventory.

(4) Prepare a Standard Form 135 -- Request to Transfer -- Federal Records Center

- Contact the HQ RO to receive accession numbers for filling out the **SF 135 Records Transmittal** form. The following information is required:

  - The name of the office retiring the boxes and the name, position, phone number, and office number of a primary contact.

  - The name of the record series planned for retirement.

  - The number of boxes for each set (series) and the year of closure for each series.

- Fill out the SF 135 form and bring 5 copies of the form and related box inventories to the HQ RO for his signature and approval. This must be done at least 4 weeks (and no later than 3 weeks) prior to shipment. It takes two weeks, or 10 working days, for FRC approval. Two copies of the SF 135 form and the box inventory will be returned.

(5) **Prepare for Shipment**

- Once approval is given, write the accession number in the upper left-hand corner of each box in the accession series and the box number in the upper right-hand corner. This should be written in block letters with a black felt-tip marker. Place one copy of the SF 135 and related box inventory in the first box of the set. Close the top of the boxes by interlocking flaps. Do not tape the top of the box.

- Fill out a **5100-8 Facilities Services Request** form to have the boxes moved from the work area for shipment to the FRC. This must be done so that all boxes are prepared for removal and shipment at least 2 weeks prior to actual shipment to the FRC.

- Contact the HQ RO to approve the shipment and to sign the EPA Form 5100-8. The HQ RO will route this form to the Facilities Department, which will pick up the boxes and take them to the loading dock.

- Be available when the Facilities staff comes to remove the boxes for shipment to the FRC.

(6) Once the records have been shipped to the FRC, a completed SF 135 with location numbers will be sent back to the office. Keep an office record copy of each completed SF 135 and related box inventory. These records will be vital for future records retrieval from the FRC.

Retrieving Retired Records

Records stored at the FRC can be retrieved. A folder, box, or several

boxes may be requested from the FRC by submitting an **Optional Form (OF) 11 -- Reference Request -- Federal Records Center.** The completed form must be sent through the HQ RO. Once the request is received by the FRC, the records are available for Agency retrieval, normally within 24 hours. Facsimile (FAX) requests can be made on a case-by-case basis to speed the retrieval process. Instructions for completing the OF-11 are found in the handbook, ***Using the Federal Records Center: A Guide for Headquarters Staff.*** All forms referenced in these instructions are available from the OSWER RMO, HQ RO, or the EPA supply store.

The FRC makes the records available by delivering them to EPA, holding them for pick-up from the FRC, or allowing review of the records at the FRC facility. Copy machines are available at the FRC if this option is chosen. Once records are received at EPA, the requesting program office is notified and can choose to have them delivered or pick them up.

If the records are sent in envelopes or in fewer than 5 boxes, EPA interoffice mail will deliver them to the program office. This will take approximately 2 days after the receipt of the records at EPA HQ.

If there are more than 5 boxes, interoffice mail will not deliver them. In this case, Shipping and Receiving will deliver the boxes on the next scheduled weekly delivery day. For Crystal Gateway offices, deliveries are made once a week, on Tuesday. However, the requestor can choose to pick up the boxes from Shipping and Receiving any time after their arrival.

The requestor can, if interested, check out a "Drive-it-Yourself" U.S. Government vehicle from Transportation and drive directly to the FRC in Suitland, MD, or pick up the boxes from Shipping and Receiving.

Returning Records to the FRC

Records that have been retrieved from the FRC should be returned when no longer needed. All forms referenced in these instructions are available from the OSWER RMO, the HQ RO, or the EPA supply store.

(1) Package the Records.

- If records were received unboxed, return the records in an envelope similar to that used by the FRC.

- If records were received in boxes, return the files to their original boxes, placing the folders in their correct places in the boxes.

- In the event a box has been damaged in transit and must be replaced with a new box, it is absolutely essential that the information that was put on the front of the box by the FRC during its initial accession is replicated on the new box.

(2) Prepare a Mailing Label.

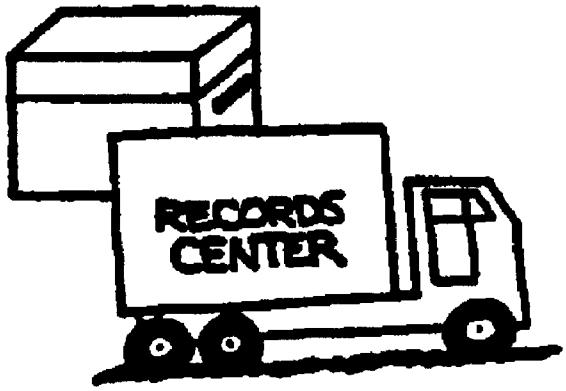
- Complete a **Form 1320-3** (Mailing Label). Instructions for completing this form are found in the handbook, ***Using the Federal Records Center: A Guide for Headquarters Staff.***

(3) Ship the Records.

- Enclose a copy of the OF-11 that was used to retrieve the records in each box or envelope. Seal each envelope or box with nylon reinforced tape and paste the mailing label on the front of the envelope or the top of the box.

- Return envelopes to the FRC through regular mail.

- To return one or more boxes to the FRC, fill out a 5100-8 Facilities Services Request form and send to HQ RO to have the boxes moved from the work area for shipment to the FRC. Follow the instructions in the handbook, ***Using the Federal Records Center: A Guide for Headquarters Staff***, for filling out the form 5100-8; then forward the form to Facilities. Be available when the Facilities staff comes to remove the boxes for shipment to the FRC.



EPA SERIES NUMBER	RECORD SERIES	DISPOSAL AUTHORITY NUMBER	FILE BREAK MILESTONE	RETENTION PERIOD IN OFFICE	DISPOSITION ACTION	RETENTION VALUE
CCOR-141a	Controlled Correspondence Requiring Signature of Office Director or Above	Pending	End of FY	1 year	FRC	Permanent
CCOR-141b	Controlled Correspondence Requiring Signature of Division Directors or Other Lower Level Supervisory Staff	Pending	End of FY	1 Year	FRC	10 Years
FOIA-034	FOIA Correspondence	NI-412-86-10/6	End of FY	2 Years	Destroy	2 Years
GCOR-127	General Correspondence	Pending	End of FY	1 Year	FRC	5 Years
OESC-125	Office Equipment Services Contracts	NI-412-86-2/14	End of FY	1 Year	Destroy	1 Year
PERS-121	Travel Expense Records	NI-412-86-2/10	End of FY	3 Years	Destroy	3 Years
PERS-122	Personnel Reference Records	NI-412-86-2/11	Upon separation of employee	0 Years	Destroy	0 Years
PERS-123	Employee Training Records	NI-412-86-2/12	End of FY	1 Year	Destroy	1 Year
PERS-276	Time & Attendance/Leave Slip Records	NI-412-86-2/16	End of FY	1 Year	Destroy	1 Year
PROG-006a	Program Management Records Above Branch Chief Level	Pending	End of FY	1 Year	FRC	10 Years
PROG-006b	Program Management Records of Branch Chiefs and Other Personnel	Pending	End of FY	1 Year	FRC	5 Years
PUBA-081	Public Awareness Records	Pending	End of FY	1 Year	Destroy	5 Years
PURC-124	Purchase Request/Order Records	NI-412-86-2/13	End of FY	1 Year	Destroy	1 Year
RECO-307	Records Disposition Records	NCI-412-86-3/15	Upon destruction of related records	0 Years	Destroy	0 Years
TRKG-168	Tracking and Control Records	GRS 23/8	Upon destruction of related records	0 Years	Destroy	0 Years

Table 1 - ERD Administrative Files Disposition Guidelines

EPA SERIES NUMBER	RECORD SERIES	DISPOSAL AUTHORITY NUMBER	FILE BREAK MILESTONE	RETENTION PERIOD IN OFFICE	DISPOSITION ACTION	RETENTION VALUE
CONT-202b	Contract Project Officer Records	Pending	Upon termination of contract	1 Year	FRC	7 Years
CONT-202c	Contract WAM/DOPO Records	Pending	Upon termination of contract	1 Year	FRC	7 Years
CONT-258	Final Deliverables	Pending	Upon completion of project or WA/DO	1 Year	FRC	Permanent
LGRS-060	Local Government Reimbursement Records	Pending	Upon settlement of claim	1 Year	FRC	30 Years
NCPP-086	National Contingency Plan Product Records	Pending	When superseded or obsolete	3 Years	FRC	10 Years
POLI-067	Policy Guidance/Directives	Pending	Upon publication	1 Year	FRC	Permanent
RCON-155a	Reports to Congress/President	Pending	Upon submission to congress/president	5 Years	FRC	Permanent
RCON-155b	Reports to Congress/President - Work Files	Pending	Upon submission to congress/president	2 Years	FRC	4 Years
REGS-149 (pub)	Regulations, Standards, and Guidelines	Pending	Upon approval/ publication	5 Years	FRC	Permanent
REGS-149 (unpub)	Regulations, Standards, and Guidelines	Pending	Upon decision not to publish	3 Years	FRC	10 Years
SPCL-005a	Final Reports Resulting from Special Studies	Pending	Completion of the study	1 Year	FRC	Permanent
SPCL-005b	Special Studies Support Records	Pending	Completion of the study	1 Year	FRC	7 Years
SUPT-001b	Superfund Support Agreements	Pending	End of FY	1 Year	FRC	7 Years
SYST-059	OHMTADS	Pending	When superseded	1 Year	FRC	15 Years
SYST-060	ERNS	Pending	When superseded	1 Year	FRC	15 Years
SYST-061	CR-ERNS	Pending	When superseded	1 Year	FRC	15 Years
SYST-089	Information Tracking Systems	GRS 23/8	When superseded	2 Years	FRC	15 Years
SYST-090	Administrative Support Databases	GRS 20/3 and 23/3	When superseded	2 Years	FRC	15 Years

Table 2 - Program Records Disposition Guidelines

APPENDIX A
EPA RECORDS MANAGEMENT FORMS

OUT

IDENTIFICATION OF RECORD	CHARGED TO	DATE CHARGED OUT

Optional Form 23
Feb 1962
GSA Circular No. 259

CHARGEOUT RECORD

5023-101

DATE CHARGED OUT	CHARGED TO	IDENTIFICATION OF RECORD

OUT

Figure 1

TASK START-UP FORM

Check the box corresponding to the appropriate record series and fill in the information for that series. Give the completed form to the Branch records specialist who will create a set of labeled file folders to store the project documentation.

☐ **CONT-202b Contract Project Officer Records**

Contract #: _____

Contract Name: _____

☐ **CONT-202c Contract WAM Records**

Contract #: _____

WA#/DO#: _____

☐ **POLI-007 Policy Guidance/Directives**

Directive Name: _____

☐ **REGS-149 Regulations, Standards, and Guidelines**

Regulation Name: _____

☐ **RCON-155 Reports to Congress**

Report Name: _____

Report #: _____

☐ **Other**

Record Series: _____

Name: _____

Figure 2

CENTRAL FILES TRANSFER FORM

Complete the following information and place this form in the front of the records box containing the records that are being closed out and transferred to the Central Files. Notify the Branch records specialist that the files are ready for processing.

Record Series: _____

Name: _____

Responsible Staff Member: _____

Date of Record Closure: _____

Number of Boxes: _____

Date submitted : _____

Files checked for completeness: _____ _____
date initials

Files put in Central Files: _____ _____
date initials

Figure 3

TECHNICAL REFERENCE DOCUMENT ADDITION FORM

Title: _____

Author: _____ Date: _____

Publisher: _____

Contributing Staff Member/Office: _____/_____

When submitting a document for the Technical Reference Files, complete the citation information above and check the appropriate subject category below. The subject category selected will be the heading under which the document will be be filed on the Technical Reference shelves.

___ **MISCELLANEOUS**

___ Distribution Copies
___ Journal
___ Federal Register
___ Guidance/Directive
___ Training/Orientation

___ **RESEARCH and DEVELOPMENT**

___ **COMMUNITY RELATIONS**

___ **EMERGENCY RESPONSE**

___ **OIL**

___ Response Preparedness
___ Cleanup Remedies
___ Oil Spills
___ Oil Miscellaneous

___ **HAZARDOUS SUBSTANCES**

___ **SOLID WASTE**

___ **SUPERFUND**

___ Guidance
___ Legislation
___ Pubs and Reports
___ Technology
___ SITE

___ **RCRA**

___ **GROUND POLLUTION**

___ **AIR POLLUTION**

___ **WATER POLLUTION**

___ **CHEMICALS**

___ **REGULATIONS**

___ **OTHER**

___ _____

Figure 4

TECHNICAL REFERENCE
DOCUMENT REMOVAL FORM

Record ID: _____

Title: _____

Date: _____

Authorization: _____
(signature)

Return this form to the Branch records specialist to authorize the deletion of this record from the Inmagic database. The item will be removed from the Technical Reference shelves and destroyed.

Figure 5

SPECIAL RECORD SLIPSHEET

Document Description:

Is a Special Record Document and is Filed/Located:

Figure 6

CROSS-REFERENCE SLIPSHEET

Document Description:

Is/Are Filed Under:

Figure 7

RECORD CLOSURE FORM

Name: _____ Branch: _____

Record Series: _____ FY _____

Disposal Authority Number: _____

Date of Closure: _____

Disposition Instructions:

Send to FRC ☐ Date to Retire: _____

Destroy ☐ Date to Destroy: _____

Figure 8

APPENDIX B
RECORDS MANAGEMENT GLOSSARY

RECORDS MANAGEMENT GLOSSARY

ACCESSION. The transfer of the legal and physical custody of permanent records from an agency to the National Archives or the transfer of agency records to a Federal records center for temporary storage.

ACCESSION NUMBER. The number assigned to agency records being transferred to the National Archives or to a Federal records center. This number is assigned by the receiving agency and returned to the sending agency on the SF 258 or SF 135 forms requesting transfer. It is placed on each box by the sending agency prior to transfer.

ACTIVE RECORDS. Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

ACTIVITY/SERIES GROUP. A major component in the OSWER file structure. Activity groups are made up of related record series. Record series are made up of files and files are made up of documents.

ADMINISTRATIVE RECORDS. Records relating to budget, personnel, supply, and similar housekeeping, or facilitative, functions common to most agencies, in contrast to program records. See also PROGRAM RECORDS.

AGENCY RECORDS SCHEDULE. See RECORDS SCHEDULE.

ALPHABETIC-SUBJECT FILING SYSTEM. A classification system in which subjects are arranged in alphabetical order regardless of their relationship to one another.

ALPHA-NUMERIC FILING SYSTEM. A classification system in which letters are assigned to main divisions and numbers to subdivisions.

APPRAISAL. The process of determining the value and the final disposition of records, making them either temporary or permanent.

ARCHIVES. (1) The noncurrent records of an organization or institution preserved because of their permanent value; also referred to, in this sense, as archival materials or holdings. See also PERMANENT RECORDS. (2) The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency. (3) The building or part of a building where such materials are located; also referred to as an archival repository or depository.

AUDIOVISUAL RECORDS. Records in pictorial or aural form, regardless of format. Include still photographs, graphic arts, motion pictures, video recordings, audio recordings, and related records.

BREAK. See FILE BREAK.

CASE FILES. Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project and transaction files, which are types of case files.

CASE WORKING FILES. Background or support files, such as worksheets, questionnaires, rough notes, calculations, or drafts, used to prepare or analyze case file documents.

CENTRAL FILES. Files accumulated by several offices or organizational units and maintained and supervised in one location.

CHRONOLOGICAL (CHRON) FILES. See READING FILES.

CLASSIFICATION. (1) The process of determining the sequence or order in which to arrange documents. (2) The process or result of identifying records containing national security information.

CLOSED FILE. (1) A file unit or series containing documents on which action has been completed and to which more documents are not likely to be added. (2) A file unit or series to which access is limited or denied.

CODE. See FILE CODES.

CODING. The process of putting file designations on documents.

CONTINUING VALUE. The lasting value of records, especially of permanent records. See also PERMANENT RECORDS.

CONVENIENCE FILES. Nonrecord copies of correspondence, completed forms, and other documents kept solely for ease of access and reference. See also TECHNICAL REFERENCE FILES, WORKING FILES.

COPY. A reproduction of the contents of an original document, prepared simultaneously or separately and usually identified by function or by method of creation. Copies identified by function include action copy, information or reference copy, official file copy, reading or chronological file copy, suspense or tickler file copy, and stock copy.

CORRESPONDENCE. Letters, postcards, memoranda, notes, telecommunications, and any other form of addressed, written communications that are sent and received. See also GENERAL CORRESPONDENCE FILES, TRANSITORY CORRESPONDENCE FILES.

CURRENT RECORDS. See ACTIVE RECORDS.

CUTOFF. Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes called file break.

DEPOSITORY. A place where records are kept and made available for use. Also called repository. See also ARCHIVES, RECORDS CENTER.

DESTRUCTION. In records management, the major type of disposal action. Methods of destroying records include burning, pulping, and selling, or salvaging, the record medium.

DIRECTIVE. A written instruction communicating policy and/or procedure in the form of orders, regulations, bulletins, circulars, handbooks, manuals, notices, numbered memoranda, and similar issuances.

DISPOSABLE RECORD. See TEMPORARY RECORDS.

DISPOSAL. (1) The actions taken regarding temporary records after their retention periods expire; consists usually of destruction, occasionally of donation. (2) Also, when so specified, the actions taken regarding nonrecord materials when no longer needed, especially their destruction.

DISPOSAL AUTHORITY. See DISPOSITION AUTHORITY.

DISPOSAL SCHEDULE. See RECORDS SCHEDULE.

DISPOSE. To carry out disposal, which includes either the destruction or the donation of temporary records but not the transfer of permanent records to the National Archives.

DISPOSITION. (1) The actions taken regarding records no longer needed in current office space. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle. (2) The actions taken regarding nonrecord materials when no longer needed, including screening and destruction.

DISPOSITION INSTRUCTIONS. (1) Directions for cutting off records and carrying out their disposition in compliance with NARA regulations. (2) Directions for screening nonrecord materials and carrying our their disposal when no longer needed by the agency.

DISPOSITION PROGRAM. Policies and practices designed to achieve effective and efficient disposition of records by scheduling them, ensuring their proper storage, ensuring the prompt disposal of temporary records and the timely transfer of permanent records to the National Archives, and evaluating the program.

DISPOSITION SCHEDULE. See RECORDS SCHEDULE.

DOCUMENT. (1) Recorded information regardless of physical form or characteristics. Often used interchangeably with record. (2) An individual record or item of nonrecord material.

ELECTRONIC RECORDS. Records stored in a form that only a computer can process. Also called machine-readable records or ADP records.

EMERGENCY-OPERATING RECORDS. That type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. See also VITAL RECORDS.

ESSENTIAL RECORDS. See VITAL RECORDS.

EVALUATION. In records disposition, the process of assessing the value of records to recommend or determine their retention periods, designating the record either temporary or permanent.

FACILITATIVE RECORDS. See ADMINISTRATIVE RECORDS.

FEDERAL RECORDS CENTER (FRC). A records center operated by NARA.

FILE. (1) An accumulation of records or nonrecord materials arranged according to a plan. (2) A unit, such as a folder, microform, or electronic medium, containing such records or nonrecord materials. (3) Storage equipment, such as a filing cabinet.

FILE BREAK. (1) A subject or name for a group of files within a file structure. A file structure is made up of file breaks. See also MAJOR BREAK and MINOR BREAK. (2) See CUTOFF.

FILE CODES. Numbers or symbols used to abbreviate lengthy file titles.

FILE GROUPS. See FILE TYPES.

FILE PLAN. (1) A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Sometimes called a file structure. (2) A document containing the identifying number, title or description, and disposition of files held in an office.

FILE STATION. Any location in an organization at which records are maintained for current use.

FILE STRUCTURE. The placing of files in a particular order or sequence. A structure allows an office to identify a document according to its place within the structure.

FILE TYPES. Categories or classes of files. Include case, case working, general correspondence, reading, transitory correspondence, convenience, and technical reference files, along with vital records and special records.

FILES. A collective term usually applied to all records and nonrecord materials of an office or agency. See also FILE.

FILES INVENTORY. See INVENTORY.

FILES MANAGEMENT. Applying records management principles and techniques to filing practices in order to organize and maintain records properly, retrieve them rapidly, ensure their completeness, and make their disposition easier. See also RECORDS MANAGEMENT.

FILES MANUAL. A document containing the file structure and filing guidance for the records held in a specific office.

FILING. Putting documents into their place in accordance with a plan or filing system.

FILING SYSTEM. A set of policies and procedures for organizing and identifying files for documents to speed their retrieval, use, and disposition. Sometimes called recordkeeping system.

FINAL DISPOSITION. The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to the National Archives.

FORMAT. The shape, size, style, and general makeup of a particular record.

GENERAL CORRESPONDENCE FILES. Letters and memoranda, mainly, but also forms, reports, and other material, all relating to program and administrative functions, not to specific cases.

GENERAL RECORDS SCHEDULE (GRS). A NARA-issued schedule governing the disposition of specified records common to several or all agencies.

HOLDING AREA. Agency space assigned for the temporary storage of records after their cutoff and removal from office space but before their destruction or their transfer to a Federal or agency records center or the National Archives.

HOUSEKEEPING RECORDS. See ADMINISTRATIVE RECORDS.

INACTIVE RECORDS. Records no longer required to conduct agency business and, therefore, ready for final disposition.

INVENTORY. (1) A survey of agency records and nonrecord materials that is conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of recordkeeping technology. (2) The results of the survey. (3) A list of records or nonrecord materials contained in filing or storage space used as a finding aid. Such finding aids are required for transfer of agency records to the National Archives.

LIFE CYCLE OF RECORDS. The management concept that records pass through three stages: creation, maintenance and use, and disposition.

MAJOR BREAK. A file break or category within a file structure.

MINOR BREAK. A subcategory under a major break.

MICROFORM. Any form containing greatly reduced images, or microimages, usually on microfilm. Roll, or generally serialized, microforms include microfilm on reels, cartridges, and cassettes. Flat, or generally unitized, microforms include microfiche, microform jackets, aperture cards, and (opaque) microcards.

MNEMONIC FILING SYSTEM. A classification system in which records are coded by symbols to remind the user of the subject; for example, PERS for personnel records. These symbols are usually arranged alphabetically.

NATIONAL ARCHIVES. See ARCHIVES.

NONCURRENT RECORDS. See INACTIVE RECORDS.

NONRECORD MATERIAL. U.S. Government-owned informational materials excluded from the legal definition of records. Include extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition. Also called nonrecords.

NUMERIC FILING SYSTEM. Any classification system in which numbers are assigned to main divisions and subdivisions and the records are arranged accordingly.

OFFER. A term formerly used to describe the act of requesting NARA's one-time approval of the immediate transfer of unscheduled records to the National Archives ("direct offer") or the act of initiating the transfer to the National Archives of records already scheduled as permanent ("scheduled offer"). Direct offers have been discontinued, and scheduled offers are now called scheduled transfers.

OFFICIAL FILES. See RECORDS.

OPTIONAL FORM 11, REFERENCE REQUEST -- FEDERAL RECORDS CENTERS. A form that an agency may use to obtain reference services involving records it has stored in a Federal records center.

PERMANENT RECORDS. Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.

PERSONAL PAPERS. Nonoffical, or private, papers relating solely to an individual's own affairs. Must be clearly designated as such and kept separate from the agency's records. Also called personal files or personal records.

PHOTOGRAPHIC RECORDS. Records taking the form of pictures, or photographs, sometimes with related textual records. See also AUDIOVISUAL RECORDS.

PRESERVATION. The provision of adequate facilities to protect, care for, or maintain records.

PRIMARY ORGANIZATION. The initial way in which the files for a record series are placed in order or organized. This initial order is the first step in organizing files according to a filing system. This initial order usually relates to the way the files for the record series will be placed on the shelves. See also SECONDARY ORGANIZATION.

PRINTED RECORDS. Published materials, such as books and maps, or serial issuances, such as directives and press releases, produced by or for a particular agency, in contrast to extra copies kept in stock or distributed inside or outside that agency.

PROGRAM RECORDS. Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records. See also ADMINISTRATIVE RECORDS.

PUBLICATIONS. Documents printed or otherwise produced for wide distribution inside or outside an agency. Include annual reports, brochures, pamphlets, books, handbooks, and maps. Also include instructional and informational material in audiovisual form. According to 44 USC 1901, a U.S. Government publication is "informational matter which is published as an individual document at Government expense, or as required by law."

READING FILES. Outgoing correspondence records arranged chronologically, in contrast to those arranged by subject. Sometimes called chronological (chron) or day files.

RECORD. All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

RECORD GROUP. A body of organizationally related records established by an archival agency after considering the organization's administrative history and complexity and the volume of its records. NARA uses record group numbers to keep track of agency records during and after the scheduling process, including those transferred to Federal records centers and/or the National Archives.

RECORD SERIES. See SERIES.

RECORD SET. See PRINTED RECORDS.

RECORD SYSTEM. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures.

RECORDKEEPING. The act or process of creating and maintaining records. Assumes the need for their proper disposition.

RECORDKEEPING REQUIREMENTS. Statements in statutes, regulations, or agency directives providing general and specific information on particular records to be created and maintained by the agency. Since each agency is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, agency recordkeeping requirements should be issued for all activities at all levels and for all media, and should distinguish records from nonrecord materials for agency purposes.

RECORDS CENTER. A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA-authorized agency records centers and NARA-operated Federal records centers.

RECORDS CONTROL SCHEDULE. See RECORDS SCHEDULE.

RECORDS CREATION. The first stage of the records life cycle in which records are made (or received) by an office.

RECORDS DISPOSAL. See DISPOSAL.

RECORDS DISPOSITION. See DISPOSITION.

RECORDS DISPOSITION AUTHORITY. See DISPOSITION AUTHORITY.

RECORDS MAINTENANCE AND USE. Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency. This is the second stage of the records life cycle.

RECORDS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.

RECORDS MANAGEMENT OFFICER (RMO). The person assigned responsibility by the agency head for overseeing an agencywide records management program. Also called records officer or records manager.

RECORDS RETENTION SCHEDULE. See RECORDS SCHEDULE.

RECORDS RETIREMENT. See RETIREMENT.

RECORDS SCHEDULE. A document providing authority for the final disposition of recurring or nonrecurring records including record identification, retention period, and disposition instructions.

RETENTION. See PRESERVATION.

RETENTION PERIOD. The length of time that records are to be kept.

RETIREMENT. The transfer of records to agency storage facilities or Federal records center.

SCHEDULED RECORDS. Records whose final disposition has been approved by NARA.

SCHEDULING. The process of developing schedules for the disposition of records, along with disposition instructions for nonrecord materials.

SCREENING. Examining files to identify and remove documents of short term value, especially those eligible for immediate destruction. Also called weeding or purging.

SECONDARY ORGANIZATION. The way the files within a record series are organized after they are arranged in their primary order. This secondary order usually relates to the way the files for the record series will be placed on the shelves. See also PRIMARY ORGANIZATION.

SEMIACTIVE RECORDS. Records required so seldom to conduct agency business that they should be moved to a holding area or directly to a record center. Also called semicurrent records.

SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restriction on access and use. Also called a record series.

SORTING. In files management, the process of separating records into groups for filing according to a classification system.

SPECIAL RECORDS. Types of records maintained separately from textual/paper records because their physical form or characteristics require unusual care and/or because they have nonstandard sizes. Include electronic, audiovisual, microform, cartographic and remote-sensing imagery, architectural and engineering, printed, and card records.

STANDARD FORM 135, RECORDS TRANSMITTAL AND RECEIPT. The form to be submitted by agencies to a Federal records center before transferring records there.

STANDARD FORM 258, REQUEST TO TRANSFER, APPROVAL, AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES. This form is used by Federal agencies to transfer legal and physical custody of permanent records to the National Archives.

SUBJECT CLASSIFICATION SYSTEM. A plan used for identifying and coding documents by topic to provide an orderly and accurate way of filing and finding.

SUSPENSE FILES. Files arranged chronologically to remind officials of actions to be completed by a specific date. Also called tickler files.

TECHNICAL REFERENCE FILES. Nonrecord copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are not properly part of the office's records.

TEMPORARY RECORDS. Records approved by NARA for disposal, either immediately or after a specified retention period.

TRANSFER. The act or process of moving records from one location to another, especially from office space to agency storage facilities or Federal records centers, from one Federal agency to another, or from office or storage space to the National Archives for permanent preservation.

UNSCHEDULED RECORDS. Records whose final disposition has not been approved by NARA.

VITAL RECORDS. Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Include both emergency-operating and rights-and-interests records.

WEEDING. See SCREENING.

WORKING FILES. Documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents.

APPENDIX C
RECORDS CONTROL SCHEDULES

NOTE: DRAFT SCHEDULES

The following are draft disposition schedules. After submission to NARA in June 1993, the schedules may be used for retiring records. However, they may not be used for destroying/recycling records until they have been approved by NARA, at a later date.

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DRAFT OF 4/27/93

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. Pending
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

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. 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.

Included are:

a. Final products and deliverables, and

b. Supporting documentation.

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 and 31

DRAFT

EPA SERIES NO. 001A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a. Permanent	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 prior to the time designated in the disposition instructions. Destroy 30 years after closeout of the agreement.

b. Keep inactive materials in office at least 1 year after file break, then retire to FRC. Destry when 7 years old unless used for cost recovery. If used for cost recovery, destroy when 30 years old.

APPLICATION GUIDANCE:

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.

AGENCYWIDE GUIDANCE: Agreement closeout is when the Agency determines all administrative actions and required work is completed or when the agreement is terminated or annulled and any disputes settled.

The Grant Administrator is responsible for the record copy of these records and implementing the disposition. Copies of these records may be filed with the site files for historical purposes or with cost recovery records which are schedule 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.

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.

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

Note: 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). Retention of agreement records by the Agency is governed by this schedule.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units	**CONTACT POINT:**
Name:	**Name:**
Location:	**Mail Code:**

DRAFT

EPA SERIES NO. 001A

Inclusive Dates: **Telephone:**

Volume on Hand (Feet): **Office:**

Annual Accumulation: **Room:**
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 003A, EPA 020A, EPA 024A, EPA 080H, EPA 084H, EPA 202A, EPA 258A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-85-10/15, NC1-412-85-18/2 and 24, NC1-412-85-25/5 and 6

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/20/91	4/27/93

DRAFT

DRAFT OF 4/30/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Special Studies

PROGRAM: All Programs

EPA SERIES NO: 005A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Contains documents relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides.

There are two types of records:

a. Final reports; and,

b. Supporting files.

Excludes studies and surveys covered by other program specific schedules such as those for site specific Superfund studies, contract and grant final products and deliverables, and management studies which are scheduled separately.

ARRANGEMENT: Arranged by subject/study.

TYPE OF RECORDS:
Reports, data, case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, photographs, publications, maps and architectural materials, electronic

VITAL RECORDS:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

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EPA SERIES NO. 005A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a. Permanent	Yes
b. Disposable	Yes

FILE BREAK INSTRUCTIONS: Break file upon completion of study.

DISPOSITION INSTRUCTIONS:
a. Retire to FRC in annual increments, then transfer to the National Archives 20 years after file break. If volume necessitates, records may be transferred to the FRC prior to the time designated in the disposition instructions.

b. Retain in office at least 1 year after file break, then retire to FRC. Destroy 7 years after completion of study.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This combines a number of special studies items into an Agencywide disposition and provides consistent retention across programs.

AGENCYWIDE GUIDANCE: If studies are incorporated into other permanent series such as Superfund site files, that disposition takes precedence. Reference (nonrecord) and information copies may be destroyed when no longer needed.

Contract records are covered in EPA 020A (Superfund site specific), EPA 055A, EPA 202A, and EPA 258A. Grants and Other Program Agreements are found in EPA 001A (Superfund site specific) and EPA 003A (all programs except Superfund site specific). Management studies are scheduled as EPA 105A.

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 020A, EPA 055A, EPA 105A, EPA 202A, EPA 258A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-84-1/16a and b, NC1-412-85-6/9, NC1-412-85-7/9, NC1-412-85-10/16, NC1-412-85-12/8, 11a and b, NC1-412-85-14/9, NC1-412-85-15/3a(1), 3b, 4a and b, NC1-412-85-17/3 and 16, NC1-412-85-18/16 and 17, NC1-412-85-21/9 and 10, NC1-412-85-24/20a and b, N1-412-86-1/9, N1-412-87-4/16

Approval Date EPA	**Approval Date NARA**	**Entry Date**	**Last Modified**
		3/20/91	4/30/93

DRAFT

DRAFT OF 4/12/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Program Management Files

PROGRAM: All Programs

EPA SERIES NO: 006A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational unit. Specific types of records include correspondence, memoranda, and reports relating to general policy and program matters, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.

There are two types of files:

a. Program management files held by offices of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, Regional Administrators, Deputy Regional Administrators, and Division Directors.

b. Program management files held by offices of Branch Chiefs and other personnel.

Excludes policy statements and directives, contract records, and organization and program development records which are scheduled separately, as well as records covered by the NARA General Records Schedules.

ARRANGEMENT: Arranged by subject.

TYPE OF RECORDS:
Correspondence/subject files, Reports

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, publications, forms, electronic

VITAL RECORDS:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

DRAFT

EPA SERIES NO. 006A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: Yes

FILE BREAK INSTRUCTIONS: Break file annually; bring forward active materials.

DISPOSITION INSTRUCTIONS:

a. Keep inactive files in office at least 1 year after file break, then retire to the FRC. Destroy 10 years after file break.

b. Keep inactive files in office at least 1 year after file break, then retire to FRC. Destroy 5 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines a number of items previously approved for disposal and standardizes retention.

AGENCYWIDE GUIDANCE: This schedule item gives the retention for program management files only. Also includes routine project control documents such as personnel assignments and periodic progress reports maintained by branch and section personnel. Such records should be incorporated into the branch or section files prior to retirement. General administrative and housekeeping records are scheduled under EPA 110A. There are specific EPA and NARA schedules to cover records such as budget, personnel, property, etc. Records documenting the program development of the Agency should be pulled and retired in accordance with EPA 126R and 143H. See EPA 127A for General Correspondence. EPA 141A for Controlled and Major Correspondence, and EPA 140A for Speeches. Management Studies are scheduled as EPA 105A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation: (feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 105A, EPA 110A, EPA 126R, EPA 127A, EPA 140A, EPA 141A, 143H

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS: NC174-118/3, NC1-412-84-1/3, NC1-412-84-2/1, NC1-412-85-1/6, NC1-412-85-2/3, NC1-412-85-3/4, NC1-412-85-4/4, NC1-412-85-5/3, NC1-412-85-6/4, NC1-412-85-7/4, NC1-412-85-8/2, NC1-412-85-10/4, NC1-412-85-12/4, NC1-412-85-13/4, NC1-412-85-14/4, NC1-412-85-15/1a, NC1-412-85-16/4, NC1-412-85-17/1, NC1-412-85-18/18, NC1-412-85-19/3, NC1-412-85-20/14, NC1-412-85-21/3, NC1-412-85-21/11, NC1-412-85-22/7b, 10 and 24b, NC1-412-85-23/1a, NC1-412-85-24/52, NC1-412-85-26/I/2 and 26/II/2, NC1-412-85-27/2, NC1-412-85-28/2, N1-412-86-1/4, N1-412-86-3/4, N1-412-86-4/1, N1-412-87-2/4, N1-412-87-4/4, N1-412-87-5/4

DRAFT

EPA SERIES NO. 006A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/20/91	4/12/93

DRAFT

DRAFT OF 5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Directives and Policy Guidance Documents Issued by Specific Programs and Regions

PROGRAM: All Programs

EPA SERIES NO: 007A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes all records which document EPA's major policy decisions and program operational procedures originated within each program and Regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos which set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

ARRANGEMENT: Arrangement varies. Directives are arranged numerically by directive number as published in the Code of Federal Regulations.

TYPE OF RECORDS:
Case files

MEDIUM:
Paper, publications, forms, electronic

FUNCTIONS SUPPORTED:
Program direction

SPECIFIC LEGAL REQUIREMENTS:
Varies by statute

SPECIFIC RESTRICTIONS:
None

VITAL RECORD:

DRAFT

EPA SERIES NO. 007A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Record copy: Permanent

TRANSFER TO FRC PERMITTED:
Yes

FILE BREAK INSTRUCTIONS: Break file upon issuance or publication of directive or guidance.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office at least 1 year after file break, then retire to FRC. Transfer to NARA in 5 year blocks, 20 years after file break.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item documents the major functions, organization, policies, and operation of the Agency. These records were previously appraised by the National Archives as permanent.

AGENCYWIDE GUIDANCE: Agencywide Directives issued by the Management and Organization Division are covered in EPA 108A. This disposition covers all directives, guidance documents, and compendiums at the point of origin. The office that issues the guidance or directive is responsible for implementing the disposition and ensuring that a permanent record is maintained either in issuing office or a central facility (e.g., records center, central program office).

Programs should maintain an on-site reference file of current and superseded directives and guidance to support litigation and ongoing site activities.

Information copies maintained by programs other than the issuing one should be destroyed when superseded or no longer needed.

Program management files are scheduled as EPA 006A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 006A, EPA 108H

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC174-118/4, NC1-412-85-6/16, NC1-412-85-7/22, NC1-412-85-11/7, N1-412-86-2/15

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/29/91	5/4/93

DRAFT

DRAFT OF 4/6/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Freedom of Information Act (FOIA) Request Files - Copies Maintained by FOIA Coordinators and Program Offices

PROGRAM: All Programs

EPA SERIES NO: 034A

NARA SCHEDULE NO. Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: Files created in response to all requests for information under the Freedom of Information Act normally consisting of incoming FOIA requests, a copy of the reply to the request, and in some cases supporting information. Also includes control files such as logbooks used to track requests. This file is not the Agency's official copy of the FOIA reply because the official copy is maintained by the FOIA Officer. Nor does this file contain the Program's official record of the information requested.

ARRANGEMENT: Arranged by FOIA request.

TYPE OF RECORDS:
Correspondence/subject files

SPECIFIC RESTRICTIONS:
Privacy Act

MEDIUM:
Paper, electronic

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
FOIA Administration

SPECIFIC LEGAL REQUIREMENTS:
Freedom of Information Act, as amended, 5 U.S.C. 552
40 CFR 2

EPA SERIES NO. 034A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS: Break file at the end of each year.

DISPOSITION INSTRUCTIONS: Destroy 2 years after the date of the reply.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces a number of program specific items previously approved by NARA, and extends coverage to all programs. See entry for previously approved authorities below.

AGENCYWIDE GUIDANCE: This item should be used by FOIA coordinators and others who retain copies of FOIA responses and control files such as logbooks to dispose of all FOIA records they maintain. FOIA Officers records are scheduled under EPA 030A and 033A. EPA 031A covers FOIA administrative files and reports and EPA 032A covers FOIA appeals.

The official copy of the records requested should be disposed of in accordance with the approved Agency disposition instructions for that category of record, or with the related FOIA request, whichever is later.

See EPA 263A for the Freedom of Information Action Tracking System (FOIMATS) and EPA 309A for public inquiries that are not formal FOIA requests.

See *EPA 1550 - Freedom of Information Act Manual* for additional information on the Agency's FOIA policies and procedures.

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

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 030A, EPA 031A, EPA 032A, EPA 033A, EPA 263A, EPA 309A

PREVIOUSLY APPROVED
NARA SCHEDULE NOS: NC1-412-85-2/4, NC1-412-85-3/6, NC1-412-85-4/6, NC1-412-85-5/8, NC1-412-85-6/6, NC1-412-85-8/4, NC1-412-85-10/6, NC1-412-85-11/8, 10 and 11, NC1-412-85-12/7, NC1-412-85-13/6, NC1-412-85-14/6, NC1-412-85-15/10, NC1-412-85-16/6, NC1-412-85-19/14, NC1-412-85-22/23, NC1-412-85-24/47, NC1-412-85-26/I/3, NC1-412-85-27/I/3, NC1-412-85-28/22, N1-412-86-1/6, N1-412-86-3/6, N1-412-87-1/6, N1-412-87-2/6, NI-412-87-4/6, N1-412-87-5/6

DRAFT

EPA SERIES NO. 034A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/19/91	4/6/93

DRAFT

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:	TRANSFER TO FRC PERMITTED:
a. OHMTADS electronic software programs: Disposable	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 NDPD'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 assurnce 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 NDPD tapes, along with tape layout, block size, and other tape specifications, according to NDPD policies. Instruct NDPD 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.

DRAFT

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:	**CONTACT POINT:**
Name: OERR/ERD/OPRAB	**Name:** Richard Norris
Location: EPA Headquarters	**Mail Code:** 5202G
Inclusive Dates: 1980 to present	**Telephone:** 703-603-9053
Volume on Hand (Feet):	**Office:** OPRAB
Annual Accumulation: (feet or inches)	**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

DRAFT

DRAFT OF 4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Emergency Response Notification System (ERNS)

PROGRAM: Superfund

EPA SERIES NO: 060A

NARA SCHEDULE NO. Pending

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: The Emergency Response Notification System (ERNS) is a national computer data base used to store information on releases of oil and hazardous substances. 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 data base. Each EPA Region maintains its own Region-specific data base, which is a subset of the national data base. ERNS supports the Emergency Response and the Title III program.

ARRANGEMENT: Arrangement varies, electronic data arranged by ERNS number.

TYPE OF RECORDS:
Reports, forms, fact sheets, printouts, data files

SPECIFIC RESTRICTIONS:
Privacy Act

MEDIUM:
Electronic, paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended, Section 103
Title III - Emergency Planning and Community Right-to-Know, Section 304
Clean Water Act, as amended, Sections 311
Hazardous Materials Transportation Act, Section 1808(b)
National Oil and Hazardous Substances Contingency Plan, Sections 300.51 and 300.65

DRAFT

EPA SERIES NO. 060A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. ERNS electronic software programs: Disposable	No
b. Input	Dependent on related records
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 file when information has been entered into the system or when Regional input data base has been electronically transferred into the national data base and quality assurance of all (paper and electronic) data has been determined. Paper input should be broken according to the instructions for EPA 091A - CERCLA 103 Notifications.

c. Break data file at the end of the fiscal year.

d. Break output systems when data has been transferred to national data base. File ad hoc reports 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 ERNS is discontinued, maintain current version on tapes or cartridges for 3 years following procedures required in NDPD'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. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Hold paper input and disposition according to the instructions for EPA 091A - CERCLA 103 Notifications. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later.

c. Transfer current data sets to NDPD tapes, along with tape layout, block size, and other tape specifications, according to NDPD policies. 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 NDPD to hold tapes for 30 years, then destroy data through degaussing.

d. Delete update output systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later. Disposition ad hoc output reports according to 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: 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.

AGENCYWIDE GUIDANCE: ERNS is under the control of the Emergency Response Division (ERD) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/ERD staff is 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 091A - 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.

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 175A - Print Files.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	**CONTACT POINT:**
Name: OSWER/OERR/ERD	**Name:** Dana Stalcup
Location: EPA Headquarters	**Mail Code:** 5202G
Inclusive Dates: 1988 to present	**Telephone:** 703-603-8735
Volume on Hand (Feet):	**Office:** ERD
Annual Accumulation: (feet or inches)	**Room:**

CONTROL INFORMATION:
RELATED ITEMS: EPA 056A, EPA 061A, EPA 091A, EPA 175A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

EPA SERIES NO. 060A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/30/92	4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

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

PROGRAM: Superfund

EPA SERIES NO: 061A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
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.

ARRANGEMENT: Arranged by facility unique identification case number.

TYPE OF RECORDS:
Reports, forms, data files

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, Section 103(f)(2)
40 CFR 302.8

DRAFT

EPA SERIES NO. 061A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a. CR-ERNS electronic software program: Disposable	No
b. Input	Dependent on related records
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 file when information has been entered into the system or when Regional input data base has been electronically transferred into the national data base and quality assurance of all (paper and electronic) data has been determined. Paper input should be broken according to the instructions for EPA 091A - CERCLA 103 Notifications.

c. Break data file at the end of the fiscal year.

d. Break output systems when data has been transferred into the national data base. File ad hoc reports 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 CR-ERNS is discontinued, maintain current version on tapes or cartridges for 3 years following procedures required in NDPD'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. When software is superseded by routine program updates, delete those program components undergoing revision after quality assurance check is performed.

b. Hold paper input and disposition according to the instructions for EPA 091A - CERCLA 103 Notifications. Delete update input systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later.

c. Transfer current data sets to NDPD tapes, along with tape layout, block size, and other tape specifications, according to NDPD policies. Instruct NDPD to hold tapes for 30 years, then destroy data through degaussing.

d. Delete output systems when no longer required to support reconstruction of, or serve as a backup to, the data base, whichever is later. Disposition ad hoc output reports according to 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.

EPA SERIES NO. 061A

APPLICATION GUIDANCE:
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.

AGENCYWIDE GUIDANCE: CR-ERNS is under the control of the Response Standards and Criteria Branch (RSCB) of the Emergency Response Division (ERD) of the Office of Emergency and Remedial Response (OERR) in the Office of Solid Waste and Emergency Response (OSWER). OSWER/OERR/ERD staff is 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 091A - 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 175A - Print Files.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	**CONTACT POINT:**
Name: *OSWER/OERR/ERD/RSCB*	**Name:** *Gerain Perry*
Location: EPA Headquarters	**Mail Code:** 5202G
Inclusive Dates: 1990 to present	**Telephone:** 703-603-8732
Volume on Hand (Feet):	**Office:** RSCB
Annual Accumulation: (feet or inches)	**Room:**

CONTROL INFORMATION:
RELATED ITEMS: EPA 056A, EPA 060A, EPA 091A, EPA 171A, EPA 175A

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		5/30/92	4/28/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Local Government Reimbursement Program

PROGRAM: Superfund

EPA SERIES NO: 080H

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

APPLICABILITY: Headquarters

IDENTIFYING INFORMATION:
DESCRIPTION: The Local Government Reimbursement Program provides financial assistance to local governments responding to releases of hazardous substances. When a local government has conducted an emergency response action and is unable to recover costs in accordance with 40 CFR 310, an application may be submitted to EPA for reimbursement, up to $25,000. (This program differs from a grant in that the local government later recovers costs and must return the reimbursed funds to EPA.) Records include general information and cost documentation on the release, the application for reimbursement, records of reimbursement, and rejected and accepted applications.

ARRANGEMENT: Arranged by application number.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, forms

VITAL RECORD:

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
Superfund Amendments and Reauthorization Act of 1986, Section 123
40 CFR 310

DRAFT

EPA SERIES NO. 080H

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: Yes

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

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

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: These records are necessary for litigation and cost recovery support.

AGENCYWIDE GUIDANCE: Records in this series differ slightly from Grants and Other Program Support Agreements - Superfund Site Specific, EPA 001A, because the reimbursement is not considered a grant. Reimbursements under this program must be repaid to EPA only if the recipient is able to recover the costs. The retention of these records reflects their value to cost recovery support.

Pursuant to the local government reimbursement program, the local government recipient of funds must maintain their files on the response action for 10 years. At that time, the local government must offer the records to EPA before destruction. Typically, these records will include more detailed technical records relating to the incident and response action. EPA will review the files for enforcement value and determine whether they warrant integration and retention with the EPA portion of the file.

Copies of documents from this series may be retained in related series such as Cost Recovery Records, EPA 024A, and disposed of with the related series. All other copies may be destroyed when no longer needed.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Response Standards Criteria Branch
Location: EPA Headquarters

Inclusive Dates:

Volume on Hand (Feet): 4

Annual Accumulation: 1 ft.
(feet or inches)

CONTACT POINT:

Name: John Ferguson

Mail Code: 5202-G

Telephone: 703-603-8712

Office: OSWER/OERR/ERD/RSCB/RPGSS

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 001A, EPA 024A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-85-18/2 and 24, NC1-412-85-25/5 and 6

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		6/8/92	4/27/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: National Contingency Plan (NCP) Product Files

PROGRAM: Superfund

EPA SERIES NO: 086A

NARA 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	Last Modified
		7/15/92	4/27/93

DRAFT

DRAFT OF 4/30/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Information Tracking Systems

PROGRAM: All Programs

EPA SERIES NO: 089A

NARA SCHEDULE NO. GRS 23/8

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes a broad range of primarily PC-based systems used to track the processing of permits, applications, reports, approvals, and other actions relating to records that are disposable under the NARA General Records Schedules or an approved Agency records disposition schedule.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Reports, printouts, data files

SPECIFIC RESTRICTIONS:
Varies by system.

MEDIUM:
Electronic, paper, forms

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 089A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Electronic software system: Disposable	No
b. Input: Disposable	No
c. Electronic data: Disposable	No
d. Output and Reports:	See Disposition Instructions.
e. Supporting documentation: Disposable	Yes

FILE BREAK INSTRUCTIONS:

a. Break file when superseded by routine software updates.

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

c. Break file when superseded.

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

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:

a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

b. Follow disposition instructions for EPA 171A - Input/Source Records.

c. Maintain individual records for at least 2 years after completion of action and then delete when no longer needed. If tracking system is used as a finding aid to the records, maintain individual entries as long as the records are retained or as long as finding aid is needed, whichever is longer.

d. Follow disposition instructions for related record.

e. Keep in office for up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Conforms to GRS 20 and 23.

AGENCYWIDE GUIDANCE: Paper-based tracking systems are scheduled as EPA 168A.

Electronic information systems with long-term or permanent retention such as CERCLIS (EPA 050A) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" schedules:

EPA 063A - Electronic Models and Expert Systems
EPA 088A - Bibliographic and Reference Systems
EPA 090A - Administrative Support Data Bases

Specific systems covered in each of these generic schedules are identified in the *Program Office Guidance/Descriptive Information* section of the schedules.

Electronic records not requiring their own schedules or covered in one of the generic schedules above may be segments or phases of information systems. Examples of this type of schedule include, but are not limited to: EPA 164A -

EPA SERIES NO. 089A

Electronic Spreadsheets, EPA 170A - Files/Records Used to Create and Maintain Master Files, EPA 304A - Systems Documentation.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: This schedule item applies to the following systems:

301(h) Application Tracking System (301(H)INFO)
304(l) Progress Tracking System
Administrative Order Inventory and Tracking System
Administrative Order Tracking System (ACTS)
Administrative Penalty Orders Inventory and Tracking System
Air Significant Violators System (AIRSVL)
ANDERSON Management and Reporting System
Assembly Line Test and Selective Enforcement Audit Data (ALT-SEA)
Assistance Disputes (ADTRACS)
Automated Imports Tracking System (AITS)
Bid Protests (BIDS)
Comprehensive Assessment Information Rule Database (CAIR)
Consent Decree Tracking System (CDETS)
Contract Administration Assistance Tool (CAAT)
Corrective Action Reporting System (CARS)
Data Call in System (DCI)
Delisting Petition Tracking System (DPDMS)
Enforcement Document Retrieval System (EDRS)
Fuel and Fuel Additives Registration System (FFARS)
Hazardous Waste Export Database (EXPORT)
Interagency Testing Committee Tracking System (ITS)
Inventory of 309(g) Orders
Judicial Case Review Tracking System
MPB Exemptions
Management Information Tracking System (New Chemicals) (MITS)
Manufacturers Programs Branch Investigation Tracking System (MPBIT)
Medical Waste Tracking System (MEDTRAC)
National 301(l) Short List Database
National Estuary Program Tracking System (NEPTUNE)
National Municipal Policy Inventory and Tracking System (NMP)
NPDES Permit Backlog Tracking System
Ocean Dumping Data Base System
Pesticide Registration Document Tracking System (PRDTS)
Pesticide Registration Enforcement System (PRES)
Pesticide Regulatory Activity Tracking (PRAT)
Pretreatment Audit Summary System (PASS)
Pretreatment Compliance Monitoring and Enforcement Tracking System (PCME)
Pretreatment Tracking System
RCRA Administrative Action Tracking System (RAATS)
Simple Maintenance of ARTS (SMART)
Site Enforcement Tracking System (SETS)
State Authorization Tracking
State Dioxin Criteria Tracking System
State Toxics Criteria Tracking System
State Programs Data Base
Technical Enforcement Support Work Assignment Tracking System (TESWATS)
Technical Support Division Sample Tracking System (TSD)

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units	**CONTACT POINT:**
Name:	**Name:**
Location:	**Mail Code:**
Inclusive Dates:	**Telephone:**

EPA SERIES NO. 089A

Volume on Hand (Feet): **Office:**

Annual Accumulation: **Room:**
(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 063A, EPA 088A, EPA 090A, EPA 162A, EPA 164A, EPA 168A, EPA 170A, EPA 171A, EPA 172A, EPA 173A, EPA 174A, EPA 175A, EPA 176A, EPA 177A, EPA 178A, EPA 179A, EPA 304A, EPA 305A, EPA 306A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		9/24/92	4/30/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Administrative Support Data Bases

PROGRAM: All Programs

EPA SERIES NO: 090A

NARA SCHEDULE NO. GRS 20/3 and 23/3

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes a broad range of primarily PC-based systems used to support administrative or housekeeping functions, containing information derived from paper copy records or from other electronic data systems disposable under the NARA General Records Schedules or an approved Agency records disposition schedule. Examples of these data bases include budget preparation, property management, program planning, spending, accounting, activity reporting, and resource allocation.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Reports, printouts, data files

SPECIFIC RESTRICTIONS:
Varies by system.

MEDIUM:
Electronic, paper, forms

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 090A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a. Electronic software system: Disposable	No
b. Input: Disposable	No
c. Electronic data: Disposable	No
d. Output and Reports:	See Disposition Instructions.
e. Supporting documentation: Disposable	Yes

FILE BREAK INSTRUCTIONS:

a. Break file when superseded by routine software updates.

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

c. Break file when superseded.

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

e. Break file when superseded.

DISPOSITION INSTRUCTIONS:

a. Delete when superseded by routine software program updates and quality assurance check completed or when no longer needed.

b. Delete after expiration of the retention period authorized for the disposable paper copy or other electronic data system.

c. Maintain individual records at least 2 years after completion of action and then delete when no longer needed.

d. Follow disposition instructions for related records.

e. Keep in office for up to 2 years after file break, then retire to FRC. Destroy when 15 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Conforms to GRS 20 and 23.

AGENCYWIDE GUIDANCE: Electronic information systems with long-term or permanent retention such as CERCLIS (EPA 050A) are scheduled separately. Other disposable systems not requiring specific schedules have been categorized into this schedule or one of the other "generic" schedules:

EPA 063A - Electronic Models and Expert Systems
EPA 088A - Bibliographic and Reference Systems
EPA 089A - Information Tracking Systems

Specific systems covered in each of these generic schedules are identified in the Program Office Guidance/Descriptive Information section of the schedules.

Electronic records not requiring their own schedules or covered in one of the generic schedules above may be segments or phases of information systems. Examples of this type of schedule include, but are not limited to: EPA 164A - Electronic Spreadsheets, EPA 170A - Files/Records Used to Create and Maintain Master Files, EPA 304A - Systems Documentation.

EPA SERIES NO. 090A

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION: This schedule item applies to the following systems:

AARP Cost Analysis and Tracking (AARP)
Action Tracking System (ATS)
ADMINLAN - Office Forms Facilitator & Perform Pro Administrative LAN Applications (ADMINLAN)
ADP Budget Planning System (APS)
ADP Budget Preparation System
ADP Capital Equipment Inventory System (ADPCETS)
ADP Inventory System (ADPIS)
Advanced Information System for Career Management (AISCM)
AEERL-RTP Management Information System (IMIS)
Applicant Tracking System (ATS)
Asbestos School Hazard Abatement Automated Information System (ASHAAIS)
Athens Financial Management System (AFMS)
Athens Inhouse Property System (AIPS)
Athens Personnel System (APS)
Athens Telephone Inventory System (ATIS)
Audit Tracking System (AUDIT)
Automated Clearing House Network (EPA-ACH)
Automated Document Control Register (ADCR)
Barcode Information System (BARCIS)
Boilers and Chillers System (B&CS)
Building Information Center System (BIC)
Carpool System (CARPOOL)
Changes Clause Advisory System (CHANGESC)
Circulation System (EPACIR)
Combined Payroll Redistribution and Reporting System (CPARS)
Conference Scheduler System (CSS)
Conflict of Interest Prototype (COINS)
Contract Administration Assistance Tool (CAAT)
Contract Delivery Order Tracking System (CDOTS)
Correspondence Control System (CCS)
Correspondence Management Tracking System (CMTS)
Dock Freight System (DFS)
Document and Personnel Security System (DAPSS)
Environmental Priorities Initiative Tracking System (EPITS)
EPA RTP Locator System (FMSR)
ERL-Athens Lab Planning System (ALPS)
ERL-CORV Financial Management (CVFM)
ERL-CORV Library Circulation System (OVLB)
ERL-CORV Personnel Management (CVPM)
ERL-Duluth Financial Management and Reporting System (FMRS)
ERL-Duluth Personnel Information Projection System (PIPS)
ERL-Gulf Breeze Financial Data Management (FMS)
ERL-Gulf Breeze Laboratory Contributions Data Management System (CONTRIBS)
ERL-Gulf Breeze Text Data Management (EPALIT)
Expert Maintenance Management System (EMM)
Facilities Alterations Tracking System (FATS)
Facilities Management Program (FMP)
Facility Management System (FMS)
Five Year Information Resources Management (FIRMIS)
Foundation Information and Real Property Management System (FIRM)
Full Time Equivalence (FTE)
General Counsel Defense Docket System (DEFENSIVE)
Grants Administration Division Management Information System (GADMIS)
Gulf Breeze Task Sheet Information Management System (TASKSHEET)
Health Effects Research Laboratory Management Information System (HERL MIS)
Hotline Assistance Request System (IRMHELP)
In-House Mailing Label Support System
Integrated Financial Management Information System (INFIMIS)

EPA SERIES NO. 090A

Interlibrary Loan Copywrite
Inventory Tracking System
Investigation Tracking System (ITS)
Labor Services Request Tracking System (LSRTS)
Laboratory Management Information System (LMIS)
Mail Distribution System (MDS)
Mail Management System (MMS)
Management Audit Tracking System (MATS)
NEIC Library System
OA-Cinc (EMSAC) Library Circulation System (LCS)
Office of Civil Rights Reporting System (OCRS)
Office of Research and Development Information Systems (ORDIS)
OPP Planning Support System (OPPAS)
Operation Information System (OIS)
ORD Equipment Justification System (OEJS)
OSWER Data Resource Directory (DRD)
Paperwork Reduction Act Management System (PRAMS)
Performance Standards System
Personal Computer Inventory System (PCIS)
Personal Property Accountability System (PPAS)
Personal Property Accounting System (PPAS)
Personnel Security System (PSS)
PhotoCopy System (PCS)
Prime Audit Tracking System (PATS)
Program Management System (PMS)
Project Officer Record System (PORS)
Project Output Planning System (POPS)
Project Tracking System (PTS)
Purchase Order System (POS)
Reference Manager (RM)
Scheduling and Allocation Monitoring System (SAM)
SEA Audits
Small Procurement Automated Tracking System (SPATS)
Small Purchases Automated Management System (SPAMS)
Superfund Cost Organization and Recovery System (SCORE $)
Supply Store System (SSS)
Telephone Call Analysis System (TCAS)
Time Accounting System
Time and Accounting Information System (TAIS)
Training Data System (TDS)
Travel Funds Tracking System (TFTS)
Utilization Management (FMSD)
Warehouse Inventory Control System (WIC)
Warehouse Inventory System (WIS)
Workstation Inventory System (WIS)

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

EPA SERIES NO. 090A

CONTROL INFORMATION:
RELATED ITEMS: EPA 063A, EPA 088A, EPA 089A, EPA 162A, EPA 164A, EPA 170A, EPA 171A, EPA 172A, EPA 173A, EPA 174A, EPA 175A, EPA 176A, EPA 177A, EPA 178A, EPA 179A, EPA 304A, EPA 305A, EPA 306A

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		9/24/92	4/30/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Travel Expense Files (Originating Office Copies)

PROGRAM: All Programs

EPA SERIES NO: 121A

NARA SCHEDULE NO. N1-412-86-2/10

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: Includes reference copies of travel records used to account for employees while on travel status, and to request reimbursement or balance due on travel funds authorized. Records consist of travel authorization record, travel advance applications, transportation requests, travel voucher copies, reimbursement claim copies, and other expense receipts and related correspondence.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
Privacy Act

MEDIUM:
Paper, electronic, microfilm

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 121A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS: Break file each year.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 3 years after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Disposition previously approved by the National Archives.

AGENCYWIDE GUIDANCE: This item is used by programs submitting travel vouchers. Record copies on microfiche are held by Financial Management Division. Accounting and financial management offices approving the vouchers should consult NARA's General Records Schedule, Chapter 9, for further guidance.

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:

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
7/24/86	12/31/86	8/19/91	4/7/93

DRAFT OF 5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Personnel Reference Files

PROGRAM: All Programs

EPA SERIES NO: 122A

NARA SCHEDULE NO. General Records Schedule 1/18

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Records consist of copies of personnel records maintained at the supervisory level. Records consist of copies of personal qualifications statements, position descriptions, personnel action forms, performance evaluations, and other related records (reference copies only.)

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Subject files

SPECIFIC RESTRICTIONS:
Privacy Act

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Reference

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 122A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS: Not applicable.

DISPOSITION INSTRUCTIONS: Review annually and destroy superseded or obsolete documents. Keep remaining materials in office until separation or termination of employment, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Copies used for reference purpose only. See NARA General Records Schedule 1, Item 18.

AGENCYWIDE GUIDANCE: Official record copies of these files are maintained by the Agency's personnel office which should be retained as specified in NARA's General Records Schedule 1, Item 1. Other copies are sent to employee, payroll, and a copy is retained in personnel. Time and attendance records are scheduled as EPA 276A.

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

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: N1-412-86-2/11

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
7/24/86	12/31/86	8/19/91	5/4/93

DRAFT OF 4/7/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Employee Training Files (Originating Office Copies)

PROGRAM: All Programs

EPA SERIES NO: 123A

NARA SCHEDULE NO. N1-412-86-2/12

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes reference copies of employee training records, maintained at the supervisory level. Records consist of training request, authorization, record forms, nomination forms, interagency training agreement forms, and other related correspondence and records.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Subject files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Reference

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 123A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Disposable

TRANSFER TO FRC PERMITTED:
No

FILE BREAK INSTRUCTIONS: Break file annually.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office up to 1 year after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Copies used for reference purposes only. Disposition previously approved by the National Archives.

AGENCYWIDE GUIDANCE: Record copies of these files held by the Training Office should be destroyed in accordance with NARA General Records Schedule 1, Item 29b.

Records used for planning, preparing, writing, arranging, and conducting training are scheduled as EPA 200A.

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

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: GRS 1/29b, EPA 200A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
7/24/86	12/31/86	8/20/91	4/7/93

DRAFT

DRAFT OF 4/7/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Requests/Requisitions for Supplies or Services

PROGRAM: All Programs

EPA SERIES NO: 124A

NARA SCHEDULE NO. N1-412-86-2/13

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes reference copies of requests for office services or supplies, printing, etc. Records consist of procurement requests/requisition forms, requests for duplication or printing, building/labor services, machine requests, and other related records.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Forms

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Reference

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 124A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS: Break file annually; bring forward active material.

DISPOSITION INSTRUCTIONS: Keep inactive material in office 1 year after file break, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Disposition meets administrative needs. Copies used for reference purposes only.

AGENCYWIDE GUIDANCE: This item covers hold back copies of requests for supplies and services maintained by requesting office. Record copies of these items are maintained by the office responding to the request. They should consult the NARA General Records Schedule 3, item 3.

Requests for ADP Hardware and Software are scheduled as EPA 305A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: GRS 3/3, EPA 305A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
7/24/86	12/31/86	8/20/91	4/7/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Office Equipment Service Contracts File

PROGRAM: All Programs

EPA SERIES NO: 125A

NARA SCHEDULE NO. N1-412-86-2/14

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes copies of service agreements for office equipment maintenance or other contractual agreements for office services used for reference or general office administration.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Contracts

MEDIUM:
Paper

FUNCTIONS SUPPORTED:
Reference

SPECIFIC LEGAL REQUIREMENTS:
None

SPECIFIC RESTRICTIONS:
None

VITAL RECORD:
No

EPA SERIES NO. 125A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS: Break file at termination of agreement.

DISPOSITION INSTRUCTIONS: Keep in office up to 1 year after contract becomes obsolete or is superseded by new agreement, then destroy.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Nonrecord copy used for reference purposes only. Record copies are maintained by the contract office.

AGENCYWIDE GUIDANCE: Record copies of contract files are scheduled under EPA 020A (Superfund Site Specific), EPA 202A (all programs except Superfund site specific), and NARA General Records Schedule 3.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 020A, EPA 202A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
	7/28/86	8/20/91	4/8/93

DRAFT

DRAFT OF 4/8/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: General Correspondence Files

PROGRAM: All Programs

EPA SERIES NO: 127A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Contains copies of all non-controlled correspondence and memoranda relating to work accomplishments, personnel needs, and other routine activities of the office. Includes incoming letters and enclosures.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Correspondence files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 127A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: Yes

FILE BREAK INSTRUCTIONS: Break file at end of year.

DISPOSITION INSTRUCTIONS: Keep inactive files in office at least 1 year after file break, then retire to the FRC. Destroy when 5 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This items combines a number of previously approved items and provides a consistent retention Agencywide.

AGENCYWIDE GUIDANCE: This item covers all general or uncontrolled correspondence files in all programs Agencywide. Controlled correspondence is scheduled as EPA 141A. Records documenting the organization and program development of the Agency are covered in EPA 105A. See EPA 006A for records relating to program management activities. General administrative and housekeeping records, other than correspondence, are scheduled under EPA 110A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 006A, EPA 105A, EPA 110A, EPA 141A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-84-1/2, NC1-412-84-2/12, NC1-412-85-2/1, NC1-412-85-3/2, 9, NC1-412-85-4/2, NC1-412-85-6/2, NC1-412-85-7/2, 6, 7, 10, NC1-412-85-8/1, NC1-412-85-10/2, NC1-412-85-11/2, 6b, NC1-412-85-12/2, NC1-412-85-13/2, NC1-412-85-14/2, NC1-412-85-15/1b, NC1-412-85-16/2, NC1-412-85-19/2, NC1-412-85-21/3, NC1-412-85-22/20, 22, NC1-412-85-24/14, NC1-412-85-25/1b, NC1-412-85-26/I/1, NC1-412-85-27/1, NC1-412-85-28/1, N1-412-86-1/2, N1-412-86-3/2, N1-412-86-4/10, N1-412-87-2/2, N1-412-87-4/2, N1-412-87-5/2

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/20/91	4/8/93

DRAFT OF 4/30/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Controlled and Major Correspondence

PROGRAM: All Programs

EPA SERIES NO: 141A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Includes copies of signed controlled and major correspondence. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence.

There are two types of records:

a. Controlled and major correspondence of the offices of EPA Administrators, Deputy Administrators, Assistant and Associate Administrators, Office of General Counsel, Office of Inspector General, and Headquarters Office Directors.

b. Controlled and major correspondence of the offices of Division Directors and other personnel.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Correspondence files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper, electronic

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 141A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a(1). Record copy: Permanent	Yes
(2). All other copies: Disposable	No
b. Disposable	Yes

FILE BREAK INSTRUCTIONS: Break file at end of year; bring forward active materials.

DISPOSITION INSTRUCTIONS:
a(1). Keep inactive materials in office 1 year after file break, then retire to FRC. Transfer to National Archives in 5 year blocks, when the most recent record is 20 years old.

(2). Keep until no longer needed, then destroy.

b. Keep inactive materials in office 1 year after file break, then retire to FRC. Destroy when 10 years old.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This item replaces several program specific items, and coverage has been expanded so that all programs are treated in a uniform fashion.

AGENCYWIDE GUIDANCE: Indexes for permanent controlled and major correspondence files are also permanent records. If the index is paper, enclose a copy of the index together with the correspondence files when the files are transferred to the FRC. If the index is electronic, retire a copy of the index to the National Archives when the correspondence is retired to the FRC.

Routine correspondence and memoranda are scheduled as EPA 127A.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:
Office of the Administrator and Deputy Administrator - Includes former interagency correspondence file and environmental multiple letters file as item a(1). Other previous schedule items combined into this schedule were for the following programs: Federal Activities, General Counsel, Regional Operations, Intergovernmental Liaison, Water, Solid Waste, Emergency and Remedial Response, Toxic Substances, Enforcement and Compliance Monitoring, Mobile Source, Air Quality Planning and Standards, International Activities, Research and Development, Pesticides, Radiation, Information and Resource Management, Inspector General, Legislative, Planning and Evaluation and Program Reporting, and Public Affairs. Specific item numbers are cited below.

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:**

EPA SERIES NO. 141A

CONTROL INFORMATION:
RELATED ITEMS: EPA 127A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-84-1/1, NC1-412-84-2/11, NC1-412-85-3/1, NC1-412-85-4/1, NC1-412-85-6/1, NC1-412-85-7/1, NC1-412-85-10/1, NC1-142-85-11/1, 3, 6a; NC1-412-85-12/1, NC1-412-85-13/1, NC1-412-85-14/1, N1-412-85-15/1b(1), NC1-412-85-16/1, NC1-412-85-22/6, NC1-412-85-24/13, NI-412-86-1/1, N1-412-86-3/1, N1-412-86-4/9, NI-412-87-2/1, NI-412-87-4/1, NI-412-87-5/1

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		8/26/91	4/30/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Regulations, Standards, and Guidelines

PROGRAM: All Programs

EPA SERIES NO: 149A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, hearing transcripts, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indices of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted.

ARRANGEMENT: Arranged by regulation, standard, or guideline.

TYPE OF RECORDS:
Case files

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information

MEDIUM:
Paper, microfilm

VITAL RECORDS:
No

FUNCTIONS SUPPORTED:
Regulatory development

SPECIFIC LEGAL REQUIREMENTS:
Administrative Procedures Act and various program statutes

EPA SERIES NO. 149A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	**TRANSFER TO FRC PERMITTED:**
a. Published regulations, standards and guidelines (microform or non-microformed paper): Permanent	Yes
b. Unpublished regulations, standards and guidelines (microform or non-microformed paper): Disposable	Yes

FILE BREAK INSTRUCTIONS:

a. If record is paper, break file on completion of rulemaking process or approval of guideline. If record is microformed, break file upon completion of quality assurance check.

b. If record is paper, break file upon decision to not publish the regulation, standard, or guideline. If record is microformed, break file upon completion of quality assurance check.

DISPOSITION INSTRUCTIONS:

a. If record is paper, keep inactive materials in office up to 5 years after file break, then retire to the FRC along with indices. Transfer to the National Archives when 20 years old.

If record is microform, retire one silver gelatin copy and one diazo copy to the FRC along with finding aids and indices. Transfer to the National Archives when 20 years old. Retain one silver halide copy and two diazo copies for office use. Destroy paper after quality assurance check is completed. Destroy Agency microform copies when superseded or no longer needed.

b. If record is paper, keep inactive materials in office up to 3 years after file break, then retire to the FRC. Destroy when 10 years old.

If record is microform, retire one silver gelatin copy and one diazo copy to the FRC along with finding aids and indices. Retain one silver halide copy and two diazo copies for office use. Keep in office up to 3 years, then transfer to the FRC. Destroy when 10 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item combines and extends a number of program specific items from previous schedules and coverage has been extended to create uniform guidance. These records are part of the basic documentation of the Agency's rulemaking function. They form part of the core documentation of the Agency's work and are necessary for adequate and proper documentation of how environmental regulations are developed and approved. When the development of regulations, standards, and guidelines is stopped prior to publication, the information constitutes necessary background of the decision making process and the development of related rules. Existing schedules did not allow for these unpublished records and resulted in the unnecessary permanent retention of disposable material.

AGENCYWIDE GUIDANCE: This disposition covers all published and unpublished regulations, standards, and guidelines. The issuing office is responsible for implementing the disposition and ensuring that a permanent record is maintained. The official set of these records maintains those items specified in the Administrative Procedures Act and are to be sufficiently complete so that they can serve as the administrative record if necessary.

The official set may be designated in certain programs as held in the rulemaking docket supporting the program, which would then be responsible for ensuring the

completeness of the records and for implementing disposition as a permanent record. In such cases, the program sponsoring the regulation need only retain documents (such as those containing sensitive information) not included in the docket file. Background or deliberative material not going to the docket must be retained in the sponsoring office and disposed of in accordance with disposition instructions a.

Reference copies should be destroyed when superseded. Working papers with no significant information should be destroyed when final rule is promulgated.

If records are microformed, it is recommended that the unit retain a silver halide set as well as diazo sets on site which will simplify making copies.

For Administrative Records for permits see EPA 210R. Dockets are scheduled as EPA 150A. See EPA 154A for legislation.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency & Remedial Response, Toxic Substances, Air Quality Planning and Standards, Environmental Services, Pesticides, Assistance and Interagency Agreements, Radiation, Planning and Evaluation and Program Reporting. Specific item numbers are cited below.

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 150A, EPA 154A, EPA 210R

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-85-6/7a, b and c, NC1-412-85-7/13, NC1-412-85-10/14, NC1-412-85-12/13a, b and c, NC1-412-85-15/5a and b, NC1-412-85-17/6, NC1-412-85-21/4, NC1-412-85-22/9, NC1-412-85-24/8, NC1-412-85-25/3, N1-412-86-1/7, N1-412-87-4/7

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	3/26/93

Draft of 5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Reports to Congress and/or the President

PROGRAM: All Programs

EPA SERIES NO: 155A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Consists of reports made to Congress and/or the President by EPA in accordance with the mandates of all environmental legislation. Records include reports prepared by EPA Assistant Administrators of the various Headquarters Program Offices. Report presents the objectives and accomplishments of the program, a summary of outstanding environmental problems in order of priority, recommendations for proposed legislation which is necessary in solving these problems, and plans for program activities during the next fiscal year.

ARRANGEMENT: Arrangement is chronological by fiscal year.

TYPE OF RECORDS:
Reports

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORDS:
No

FUNCTIONS SUPPORTED:
Program direction

SPECIFIC LEGAL REQUIREMENTS:
Varies by statute

EPA SERIES NO. 155A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Final report: Permanent	Yes
b. Work files: Disposable	Yes

FILE BREAK INSTRUCTIONS: Break file upon transmission to Congress or President.

DISPOSITION INSTRUCTIONS:
a. Keep inactive materials in office up to 5 years after file break, then retire to FRC. Transfer to the National Archives in 5 year blocks when the most recent record is 20 years old.

b. Keep inactive materials in office up to 2 years after file break, then retire to the FRC. Destroy 6 years after file break.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: This item replaces several program specific items and coverage has been expanded so that all programs are treated in a uniform fashion. In most if not all cases the program specific items scheduled the report records as permanent and the work files as disposable. Electronic records such as test files and spreadsheets specifically created to support production of the reports are disposable under NARA General Records Schedule 23.

AGENCYWIDE GUIDANCE: Office that is responsible for submitting the report is responsible for maintaining the record copy of the report and for ensuring that a permanent record is maintained.

Work files pertaining to the organization, design, construction, evaluation, and revision of the report generated by participating program offices are to be maintained by the program offices involved. These work files will vary according to the participation of the program and may include requests to form work groups, work plans, minutes of work group meetings, initial and corrected drafts of reports or parts of reports, distribution lists, and comments on drafts. All other office and information copies of the final reports and drafts are to be destroyed when no longer needed.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION: Previous schedule items combined into this schedule were for the following programs: Water, Solid Waste, Emergency and Remedial Response, Facilities and Support Services, and Planning and Evaluation and Program Reporting. Specific item numbers are cited below.

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:

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS: NC1-412-85-6/41, NC1-412-85-7/21, NC1-412-85-10/22, NC1-412-85-26/VIII/4, N1-412-87-4/8

EPA SERIES NO. 155A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	5/4/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Tracking and Control Records

PROGRAM: All Programs

EPA SERIES NO: 168A

NARA SCHEDULE NO. General Records Schedule 23/8

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Logs, registers, and other records in hard copy or electronic form used to control or document the status of correspondence, reports, or other records that are authorized for destruction by the NARA General Records Schedules or a NARA-approved records disposition schedule.

ARRANGEMENT: Arranged chronologically.

TYPE OF RECORDS:
Logs, registers

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 168A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS: Not applicable.

DISPOSITION INSTRUCTIONS: Destroy when related records are destroyed or when no longer needed, whichever is later.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Conforms to NARA General Records Schedule 23/8.

AGENCYWIDE GUIDANCE: This schedule item is to be used for paper-based tracking and control systems. See EPA 089A - Information Tracking Systems for PC-based systems.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT: Multiple units

Name:

Location:

Inclusive Dates:

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name:

Mail Code:

Telephone:

Office:

Room:

CONTROL INFORMATION:

RELATED ITEMS: EPA 089A

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
	10/30/89	9/24/91	4/12/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Input/Source Records

PROGRAM: All Programs

EPA SERIES NO: 171A

NARA SCHEDULE NO. General Record Schedule 20/2

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: This item covers the following type of input/source documents:

a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

b. Electronic records, except as noted in item c below, entered into the system during an update process, and not required for audit and legal purposes.

c. Electronic records received from another agency and used as input/source records by the receiving agency, *EXCLUDING* records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or data base.

ARRANGEMENT:

TYPE OF RECORDS:
Electronic

MEDIUM:
Paper, electronic

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

SPECIFIC RESTRICTIONS:
None

VITAL RECORD:
No

EPA SERIES NO. 171A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Disposable

TRANSFER TO FRC PERMITTED: No

FILE BREAK INSTRUCTIONS:

DISPOSITION INSTRUCTIONS:

a. Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.

b. Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to a master file or data base, whichever is later.

c. Delete when data have been entered into the master file or data base and verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or data base, whichever is later.

d. Delete after the necessary data have been incorporated into a master file.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Conforms to General Records Schedule 20/2.

AGENCYWIDE GUIDANCE: May be used for mainframe, LAN and PC-based systems.

Many input documents for major data bases must be retained because they are signed by the submitting party. In such cases a specific disposition has been assigned superseding this general one.

If the input documents include information that is not entered into the data file, those input records need to be scheduled separately.

Other schedules for segments or phases of information systems include:

EPA 170A - Files/Records Used to Create and Maintain Master Files
EPA 172A - Master Files (Including Master Files That Are Components of Data Base Management Systems) Relating to Administrative Functions
EPA 173A - Data Files Consisting of Summarized Information
EPA 174A - Records Consisting of Extracted Information
EPA 175A - Print Files
EPA 176A - Technical Reformat File
EPA 177A - Security Backup File
EPA 179A - Special Purpose Programs

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:

Room:

EPA SERIES NO. 171A

(feet or inches)

CONTROL INFORMATION:
RELATED ITEMS: EPA 170A, EPA 172A, EPA 173A, EPA 174A, EPA 175A, EPA 176A, EPA 177A, EPA 179A

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
	10/30/89	9/24/91	4/23/93

Draft of 4/22/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Contract Management Records

PROGRAM: All Programs except Superfund Site Specific

EPA SERIES NO: 202A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts, requisitions, purchase orders, leases, and bond and surety agreements to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities.

Excludes Superfund Contract Management Records which are site specific, final deliverables, and unsuccessful bids and proposals which are scheduled separately.

ARRANGEMENT: Arranged by contract.

TYPE OF RECORDS:
Contracts

SPECIFIC RESTRICTIONS:
Confidential Business Information
Enforcement Sensitive Information
Privacy Act

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Administration

SPECIFIC LEGAL REQUIREMENTS:
48 CFR Chapters 1 and 15

EPA SERIES NO. 202A

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 filing 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 when 7 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Retention period is set for 7 years which is the statute of limitations in the event of a claim against the Agency.

AGENCYWIDE GUIDANCE: This series covers oversight of contracts by Headquarters or field offices, except for site-specific Superfund contracts which are scheduled as EPA 020A. Final deliverables are scheduled as EPA 258A. For Superfund Site-Specific Program Support Agreements, see EPA 001A and EPA 003A for Grants and Other Support Agreements for programs other than Superfund site specific. Wastewater Construction Grants are scheduled as EPA 232A. Contracts for office equipment services are found in EPA 125A. Unsuccessful Bids and Proposals are scheduled as EPA 275A.

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. Project Officer - Record copy of performance evaluations, technical and financial progress reports.

c. Delivery Order Project Officers and Work Assignment Managers - Record copy of documents used for day-to-day technical direction of the contract. Documents include work plans and schedules, deliverables submitted by the contractor, comments provided to the contract or other records of technical direction, contract monitoring logs and communication records, meeting records and notes, evaluation forms, statement of work (SOW) and level of effort (LOE) documents. DOPOs maintain invoices for delivery orders and WAMs maintain invoices for WAMs. Final deliverables are permanent records and are covered by EPA 258A.

Copies of parts of this series (e.g., statements of work, work plans, etc.) may be kept with the relevant portions of related program records and may be retired according to the disposition requirements governing the series in which these records are filed. All other copies 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.

EPA SERIES NO. 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 001A, EPA 003A, EPA 020A, EPA 055A, EPA 125A, EPA 232A, EPA 258A

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS: NC1-412-85-5/4, 6 and 13, NC1-412-85-6/8, NC1-412-85-7/8, NC1-412-85-10/15, NC1-412-85-12/6, NC1-412-85-14/7, NC1-412-85-22/11, NC1-412-85-23/4a, NC1-412-85-24/12, N1-412-86-1/8, N1-412-86-3/7, N1-412-87-5/13

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		4/2/92	4/22/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Final Deliverables Resulting From Contractor Studies and Services

PROGRAM: All Programs

EPA SERIES NO: 258A

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

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: Files consist of the final draft and final deliverables submitted by contractors to the Agency. Records include all final drafts or final deliverables resulting from a contracted service or study and transmittal letters.

ARRANGEMENT: Arrangement varies.

TYPE OF RECORDS:
Case files

MEDIUM:
Paper, publications, data, reports

FUNCTIONS SUPPORTED:
Program operations

SPECIFIC LEGAL REQUIREMENTS:
None

SPECIFIC RESTRICTIONS:
None

VITAL RECORD:
No

EPA SERIES NO. 258A

DISPOSITION INFORMATION:

FINAL DISPOSITION: Permanent

TRANSFER TO FRC PERMITTED: Yes

FILE BREAK INSTRUCTIONS: Break file upon completion of the project.

DISPOSITION INSTRUCTIONS: Keep inactive materials in office 1 year after file break, then retire to FRC. Transfer to the National Archives when the most recent record is 20 years old.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: This item replaces several program specific items and coverage has been expanded so that all programs are treated in a uniform fashion. Existing disposition for these records in most cases was permanent.

AGENCYWIDE GUIDANCE: Work Assignment Managers (WAMs) and Delivery Order Project Officers (DOPOs) assigned oversight of program contracts hold the record copy of all contract final deliverables and are responsible for implementing the disposition and ensuring that a permanent record is maintained.

Copies of final deliverables may become part of related records supporting program offices and if so, they are to be retired according to the disposition requirements governing that series (e.g., Superfund site files). Information copies can be destroyed when no longer needed.

Draft deliverables and other documents which do not have long term or permanent value should be filed with other contract documentation, scheduled as EPA 020A - Contract Management Records - Superfund Site Specific, and EPA 202A - Contract Management Records (other than Superfund site specific). Final products and deliverables for grants and other program support agreements are covered in EPA 001A for Superfund site specific and EPA 003A for programs other than Superfund. Waste Water Construction Grants are scheduled as EPA 232A.

Another related series is EPA 005A - Special Studies for studies not covered by other program specific schedules.

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 005A, EPA 020A, EPA 202A, EPA 232A

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS: NC1-412-85-6/9 and 32, NC1-412-85-7/9, NC1-412-85-10/16, NC1-412-85-12/8, NC1-412-85-15/3a1, N1-412-86-1/9

EPA SERIES NO. 258A

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
		3/30/92	4/27/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Time and Attendance Records

PROGRAM: All Programs

EPA SERIES NO: 276A

NARA SCHEDULE NO. General Records Schedule 2/3

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:

DESCRIPTION: Contains forms for payroll processing and preparation. Report is prepared biweekly. Includes Optional Form 1130 or equivalent and flexitime attendance records such as supplemental time and attendance records used for time accounting under Flexitime systems.

ARRANGEMENT: Arranged by employee.

TYPE OF RECORDS:
Forms, reports

SPECIFIC RESTRICTIONS:
Privacy Act

MEDIUM:
Paper, microfilm, electronic

VITAL RECORDS:
No

FUNCTIONS SUPPORTED:
Administration

SPECIFIC LEGAL REQUIREMENTS:

EPA SERIES NO. 276A

DISPOSITION INFORMATION:

FINAL DISPOSITION:	TRANSFER TO FRC PERMITTED:
a. Record copy: Disposable	No
b. Other copies: Disposable	No

FILE BREAK INSTRUCTIONS:
a. If record is microformed, break file upon completion of microfilming. If record is not microformed, break file at end of year.

b. Break file at end of pay period.

DISPOSITION INSTRUCTIONS:
a. If record is microformed, keep paper until completion of quality assurance check, then destroy. Keep microform in office until 6 years after file break, then destroy. If record is not microformed, keep inactive materials in office 6 years after file break, then destroy.

b. Keep inactive materials in office 1 year after file break, then destroy.

APPLICATION GUIDANCE:
REASONS FOR DISPOSITION: Deviation from NARA General Records Schedule 2/3 for disposition of copies held in offices other than the office of record previously approved in schedule NC1-412-85-27, item II/7.

AGENCYWIDE GUIDANCE: Official record copies are maintained on microfiche by the Financial Management Division and should be disposed of in accordance with disposition instructions a.

Other copies such as those held by the employee, payroll, or other offices, use disposition instructions b, except in cases where they are filed as part of a related series. For example, copies of time and attendance records used for Superfund cost recovery would be disposed of in accordance with the disposition instructions for the cost recovery records. Superfund Cost Recovery Records are scheduled as EPA 024A.

Other Personnel Reference Files are covered in EPA 122A.

If paper records are converted to microform, see 36 CFR 1230.10 and 36 CFR 1230.20 for microfilm standards.

PROGRAM OFFICE GUIDANCE/DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:	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 024A, EPA 122A

EPA SERIES NO. 276A

PREVIOUSLY APPROVED BY
NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
8/2/85	12/22/86	4/7/93	4/12/93

DRAFT OF 4/21/93

U.S. EPA RECORDS CONTROL SCHEDULE

SERIES TITLE: Records Disposition Files

PROGRAM: All Programs

EPA SERIES NO: 307A

NARA SCHEDULE NO. NC1-412-86-3/15
(Use this number to retire records to the FRC)

APPLICABILITY: Agencywide

IDENTIFYING INFORMATION:
DESCRIPTION: These files contain documents of descriptive inventories, disposal authorizations, schedules for the retirement of records, approved microfilming procedures and correspondence relating to revisions.

ARRANGEMENT: Arranged by subject.

TYPE OF RECORDS:
Subject files

SPECIFIC RESTRICTIONS:
None

MEDIUM:
Paper

VITAL RECORD:
No

FUNCTIONS SUPPORTED:
Program management

SPECIFIC LEGAL REQUIREMENTS:
None

EPA SERIES NO. 307A

DISPOSITION INFORMATION:

FINAL DISPOSITION:
Record copy: Disposable

TRANSFER TO FRC PERMITTED:
No

FILE BREAK INSTRUCTIONS: Break file when related records are destroyed or transferred to the National Archives.

DISPOSITION INSTRUCTIONS: Destroy when no longer needed.

APPLICATION GUIDANCE:

REASONS FOR DISPOSITION: Records previously approved for disposal by the National Archives.

AGENCYWIDE GUIDANCE: The record copy is maintained by the Information Management Services Division (OIRM). All other copies should be considered information copies and can be disposed of when no longer needed.

PROGRAM OFFICE GUIDANCE/ DESCRIPTIVE INFORMATION:

CUSTODIAL INFORMATION:

CONTROLLING UNIT:

Name: Information Management and Services Division
Location: 2003 WSM

Inclusive Dates: 1970-

Volume on Hand (Feet):

Annual Accumulation:
(feet or inches)

CONTACT POINT:

Name: Harold Webster

Mail Code: PM 211-D

Telephone: 202-260-5912

Office: Information Services

Room: 2003

CONTROL INFORMATION:

RELATED ITEMS:

PREVIOUSLY APPROVED BY NARA SCHEDULE NOS:

Approval Date EPA	Approval Date NARA	Entry Date	Last Modified
7/23/86	2/3/87	3/4/92	4/21/93

☆ U.S. GOVERNMENT PRINTING OFFICE: 1993— 341-835/ 83080

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