

Superfund Program Implementation Manual FY 10

Appendix I: Superfund Records

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**APPENDIX I:
SUPERFUND RECORDS**

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APPENDIX I: SUPERFUND RECORDS

I.A. RECORD DEFINITION

Includes 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 United States 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. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents are not included. (Source: 36 CFR 1220.14)

I.B. RECORDS

The Federal Records Act of 1950, as amended, requires all federal agencies to make and preserve records containing adequate and proper documentation of their organization, function, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to applicable laws and regulations.

The Federal Records Act also requires agencies to establish a records management program, defined as a planned, coordinated set of policies, procedures, and activities needed to manage its recorded information. Essential elements include issuing up-to-date records management directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency.

Records serve a number of purposes including: administrative and program planning needs, evidence of EPA activities, protection of legal and financial rights, oversight by Congress and other authorized agencies, documentation of the Agency's history, and the continuation of key functions and activities in the event of an emergency or disaster. Records serve as the Agency's memory; they are of critical importance in ensuring that the organization continues to function effectively and efficiently.

According to: The OEI Records Management Policy

EPA Classification No.:	CIO 2155.1	CIO Approval Date:	6/8/09
CIO Transmittal No.:	09-004	Review Date:	6/12

Which was issued by the EPA Chief Information Officer, Pursuant to Delegation 1-19, dated 7/07/2005.

I.C. SDMS

SDMS is a key EPA asset used to meet responsibilities of Federal agencies, Congress, and the Public in Superfund site remediation and cleanup, and emergency response support. SDMS is an electronic repository of Superfund documents routinely used to disseminate records in response to FOIA requests, Administrative Records, and for litigation support. These records provide a rich institutional "memory" of the highest importance to the Superfund Program. SDMS advances e-Government by providing reliable and easily accessible documents to citizens for making informed decisions in their communities. Beneficiaries of content exported from SDMS include ordinary citizens, States, Tribes, Congress, and the business community. SDMS specifically supports *Goal 3: Land Preservation and Restoration* and *Goal 5: Compliance and Environmental Stewardship* of the agency's strategic plan (<http://www.epa.gov/ocfo/plan/plan.htm>).

SDMS allows increased access to records while reducing physical record storage. For FY2006 through FY2008 more than 78,000 e-records were captured in SDMS. SDMS fosters collaboration of information. An example is the 24,548 documents from Region 4 that were captured in SDMS for Hurricane Katrina. These digital documents, which meet the standard for e-FOIA, may be distributed to many stakeholders including States, Tribes, concerned citizens, the legal community, and other Federal agencies.

I.D. APPLICABILITY TO SUPERFUND

In order to support the documentation/records collection requirements of Superfund Program a regional emphasis has been to standardize the records collected and stored in SDMS. The collection has been reviewed and commented upon by Regional Records Managers. This collection of records should be the core of documents/records included in SDMS.

I.E. CORE SUPERFUND DOCUMENTS

EXHIBIT I.1. CORE SUPERFUND DOCUMENTS

Document	Core Document	Source Document (C3 or ICTS)*	Action Source Corresponds To
SOURCE (Based on FY 2008 Definitions) and/or CORE			
104E Information Request	C	C3	ISSUE REQ LTTRS (104e) [IC] - Act Comp
Action Memorandum	C	C3	Approval of Action Memo [AM]- Act Comp ENGINEERING EVAL/COST ANALYSIS (EE) - Act Comp
Administrative Order on Consent	C	C3 ICTS	ADMIN ORDER ON CONSENT [AC] - Act Comp. PRP FS [NK] - Act Start PRP RD [BE] - Act Start PRP REMOVAL [BB] - Act Start PRP RI [NA] - Act Start PRP RI/FS [BD] - Act Start
Bankruptcy Referral/Proof of Claim		C3	CLAIM IN BANKRUPTCY PROCEEDING [CB] - Act Start
Comfort/Status Letter		C3	COMFORT/STATUS LETTER [UB] - Act Comp
Community Involvement Plan	C	C3	Community Relations Plan [CX] - Act Comp Rev Community Relations Plan [CE] - Act Comp
Contract Modification		C3	COMBINED RI/FS [CO] - Act Start FEASIBILITY STUDY [FS] - Act Start NEGOTIATION (GENERIC) [NG] - Act Comp RD/RA NEGOTIATIONS [AN] - Act Comp REMEDIAL ACTION [RA] - Act Start REMEDIAL DESIGN [RD] - Act Start REMEDIAL INVESTIGATION [RI] - Act Start REMOVAL NEGOTIATIONS [RN] - Act Comp TECHNICAL ASSISTANCE [TA] - Act Start Award of Contract [AG] - Act Comp

Consent Decree	C	C3 ICTS	CONSENT DECREE [CD] - Act Comp SECTION 106 107 LITIGATION [CL] - Act Comp SECTION 106 LITIGATION [SX] - Act Comp SECTION 107 LITIGATION [SV] - Act Comp
Consent Decree Transmittal Memo		C3	CONSENT DECREE [CD] - Act Start
Demand Letter		C3	DEMAND LETTERS ISSUED [DL] - Act Comp
EE/CA Start Approval	C	C3	ENGINEERING EVAL/COST ANALYSIS [EE] - Act Start
Explanation of Significant Differences	C	C3 ICTS	Explanation of Significant Differences [EH] - Act Comp
FCOR	C	C3 ICTS	CLOSE OUT REPORT [CQ] - Act Comp Grndwtr Monitor (Post-ROD) [GM] - Act Comp
Federal Register of Notice of Deletion		C3 ICTS	NOTICE OF INTENT TO DELETE [TU] - Act Comp
Federal Register of Notice of Intent to Delete		C3 ICTS	NOTICE OF INTENT TO DELETE [TU] - Act Start
Final POLREP (date of demobilization)	C	C3	REMOVAL [RV] - Act Comp PRP REMOVAL [BB] - Act Comp FF REMOVAL [LV] - Act Comp PRP EMERGENCY REMOVAL [PJ] - Act Comp
First Letter Transmitting AR to Repository		C3	ADMINISTRATIVE RECORDS [AR] - Act Start
First POLREP/ POLREP 1 (date of mobilization)	C	C3	REMOVAL [RV] - Act Start PRP REMOVAL [BB] - Act Start FF REMOVAL [LV] - Act Start PRP EMERGENCY REMOVAL [PJ] - Act Start
Five Year Review Report		C3 ICTS	FIVE YEAR REVIEW [FE] - Act Comp FF FIVE-YEAR REVIEW [VY] - Act Comp Grndwtr Monitor (Post-ROD) [GM] - Act Comp
Five Year Review Start Memo or Workplan		C3	FIVE YEAR REVIEW [FE] - Act Start FF FIVE-YEAR REVIEW [VY] - Act Start
FS Work Plan & Amendments	C	C3	FF FS [NI] - Act Start
General Notice Letter	C	C3	Notice Letters Issued [NJ] - Act Comp

Interagency Agreement		C3	COMBINED RI/FS [CO] - Act Start FEASIBILITY STUDY [FS] - Act Start FEDERAL INTERAGENCY AGREEMENT [FI] - Act Comp FF FS [NI] - Act Start FF RI [NH] - Act Start FF RI/FS [LW] - Act Start NEGOTIATION (GENERIC) [NG] - Act Comp OPERATIONS AND MAINTENANCE [OM - FF Lead] - Act Comp PRE DESIGN ASSISTANCE [DA] - Act Start RCRA CORRECTIVE MEASURE STUDY [MW] - Act Start RCRA FACILITY INVESTIGATION [MX] - Act Start RD/RA NEGOTIATIONS [AN] - Act Comp REMEDIAL ACTION [RA] - Act Start REMEDIAL DESIGN [RD] - Act Start REMEDIAL INVESTIGATION [RI] - Act Start REMOVAL NEGOTIATIONS [RN] - Act Comp TECHNICAL ASSISTANCE [TA] - Act Start
Litigation Referral Transmittal Letter		C3	LITIGATION (GENERIC) [LT] - Act Start SECTION 104(E) REF LITIGATION [SF] - Act Start SECTION 106 107 LITIGATION [CL] - Act Start SECTION 106 LITIGATION [SX] - Act Start SECTION 107 LITIGATION [SV] - Act Start
Oversight Bill		C3	Issuance of Oversight Bill [QZ] - Act Comp
PCOR	C	C3	PRELIM CLOSE-OUT REP PREPARED [CM] - Act Comp
Preliminary Assessment (PA)	C	C3	PRELIMINARY ASSESSMENT [PA] - Act Comp
Proposed Plan	R1 Core	C3	Proposed Plan (NU) Parent actions are Combined RI/FS, PRP RI/FS, FS, PRP FS, FF FS, and ROD
Prospective Purchase Agreement		C3	PPA ASSESSMENT [QX] - Act Comp
PRP Oversight Letter		C3	Offer to Discuss EPA Oversight Expectations w/PRPs [QY] - Act Comp
PRP Notice of Intent to Comply		C3	PRPs Ntfy EPA, Intent to Comply [NC] - Act Comp

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