

FILE STRUCTURES

BROWNFIELDS FILE STRUCTURE

Brownfields Program Filing System Template

(Rev. December 2004)

I. Brownfields Program Information (Divider)

A. Regional Brownfields Program (Divider)

1. Summaries and updates (Divider)

- a. New Jersey pilots summaries*
- b. New York pilots summaries*
- c. Puerto Rico pilots summaries*
- d. BPM Monthly Reports*
- e. Quarterly reports submitted (Spreadsheet)*
- f. Federal Interagency workgroup* - directory -meeting summaries
- g. TBA (Targeted Brownfields Assessment) * (include here reports or memos on TBA from START or RACs contacts) TBA under State PA/SI program go in the state files
- h. Fields Lab Assessment Team* - memos
- i. Brownfields Team Staff* - staff memos

2. Distribution documents (Divider)

- a. QAPP (Quality Assurance Project Plan)**
- b. Template for Quarterly Reports*
- c. Fact Sheet Template*

3. Presentation materials - slides and overheads**

4. Publications/Requests for Information - Regional*

5. IPA (Intergovernmental Personnel Act)*

B. National Brownfields Program (Divider)

1. National Program Updates (Divider)

- a. Official Memos**
- Memos from OSPS office

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- Memos from AA on Brownfields Issues
- b. Brownfields Action Agenda**
- c. Federal Agency Partnerships** (including CRA, DOT, GSA, HUD)
- d. Program Updates**
Include here documents -correspondence from headquarters that describe the progress of the Brownfields Program - in chronological order
- e. BAB (Better America Bonds)*
- f. Superfund* (related to Brownfields, includes legislation and legal issues)
- g. Program Development* (includes background information concerning program policy, procedures, and protocols related to the development of the Brownfields program)

2. Brownfields National Workgroups (Divider)

- a. BEAM (or BMS) Workgroup (Brownfields Management Sys.)
- b. Federal Agency MOU Workgroup*
- c. State VCP Guidelines (Voluntary Cleanup Program)*
- d. Proposal Guideline workgroup**
 - Assessment Demonstration
 - Job Training
 - RLF
- e. RCRA Brownfields Workgroup**

3. Grant Programs (Divider). Include comments with proposals

- a. Assessment Demonstration Pilots**
 - Application guidelines
 - Proposals and comments for candidates not selected
- b. Brownfields Cleanup Revolving Loan Fund**
 - Application guidelines
 - Proposals and comments for candidates not selected
- c. Job training**
 - Application guidelines
 - Proposals and comments for candidates not selected
- d. Clean Up Grants**
 - Application guidelines
 - Proposals and comments for candidates not selected

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4. Congressional Requests (Divider)
 - a. General congressional correspondence*
 - b. Bliley request**
 - c. VCP Congressional request**
5. Publications/Requests for Information - National (Divider)
 - a. Publications**
 - b. Correspondence*
6. EPA Guidance Documents (Divider)
 - a. Liability*
 - EPA fact sheets and documentation
 - Correspondence
 - b. Insurance*
 - EPA fact sheets and documentation
 - Correspondence
 - c. Financial*
 - EPA fact sheets and documentation
 - Correspondence

II. Brownfields Research and Support

- A. NJIT - New Jersey Institute of Technology (Divider)
 1. Funding (Divider)
 - a. Proposals and funding memos*
 2. Deliverables (Divider) - include memos and documents
 - a. Workshops*
 - b. Conference*
 - Life After the Grant conference
 - Conference 2003
 - c. Area Wide characterization*
 - d. TAB - Technical Assistance for Brownfields*
 - e. TOSC*
 - f. PR VCP Assistance*

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- g. Brownfields Guide*
- h. Expert Systems Decision Model*
- i. General Reports*

B. RACS (Divider)

- 1. Funding (Divider)
 - a. Proposal and memos
- 2. Deliverables (Divider)
 - a. Fact Sheets**
 - b. BQCR (Brownfields Quarterly Community Report)**

C. TRC (Divider) set aside general correspondence

- 1. Funding
 - a. Proposal and memos*
- 2. Deliverables (Divider)
 - a. Fact Sheets** (Keep only the last 3 fact sheet deliverables)
Set aside rest
 - b. BQCR (Brownfields Quarterly Community Report) keep only final version**
 - c. Misc. Deliverables*

D. IRM - Institute for responsible management (Divider)

- 1. Documents**
- 2. Correspondence*

E. Northeast Midwest Institute (Divider)

- 1. Documents**
- 2. Correspondence*

F. EBA - Environmental Business Association (Divider)

- 1. Documents**
- 2. Correspondence*

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 ** accordion folder(s)

G. TIO - Technology Innovation Office (Divider)

1. Documents**
2. Correspondence*

The following sections on Brownfields Grants should be filed by state

III. Brownfields Assessment Demonstration Pilot Program (Divider)

A. Pilot Documents (Divider)

1. 6-part partition folder in a labeled hanging folder for each of the following grantees:

* manila folder(s)

** accordion folder(s)

New Jersey Pilots	New York Pilots	Puerto Rico Pilots
<ul style="list-style-type: none"> 1) Atlantic City 2) Bayonne 3) Camden 4) Elizabeth 5) Essex County 6) Essex County (FY04) 7) Gloucester City 8) Hudson County 9) Hudson County (FY03) 10) Jersey City 11) Lakewood 12) Long Branch 13) Middlesex County 14) Middlesex County (FY03) 15) Morris County 16) NJDEP/Camden (FY03) 17) NJ Meadowlands Development Commission 18) Orange Township, City of 19) Passaic County (FY03) 20) Paterson 21) Pennsauken Township 22) Perth Amboy 23) Phillipsburg, Town of 24) Roselle, City of (FY04) 25) Somerset County 26) Trenton 27) Trenton (FY03) 28) Union County 	<ul style="list-style-type: none"> 1) Albany, City of 2) Albany County 3) Babylon 4) Broome County 5) Buffalo 6) Chautauqua County 7) Clayton Local Dev. (FY04) 8) DDI, Buffalo 9) Elmira 10) Glen Cove 11) Glen Cove (FY03) 12) Glens Falls 13) Glens Falls (FY03) 15) Haverstraw Village 16) Johnstown 17) Lackawanna, City of 15) Nassau County 18) New York City 19) New York City (FY03) 20) New York City (FY04) 21) Niagara County 22) Niagara Falls 23) North Hempstead 24) Ogdensburg 25) Ogdensburg, City of (FY04) 26) Oneonta 27) Oswego 28) Port Jervis 29) Rochester 30) Rochester (FY03) 31) Rome, City of (FY04) 32) Schnectady, City of 33) Schnectacy, County of (FY04) 34) Seneca Nation of Indians 35) Syracuse 36) Troy 37) Troy, City of (FY04) 38) Ulster County 39) Utica 40) Watertown, City of 41) Yonkers 42) Yonkers Industrial Development Agency (FY04) 	<ul style="list-style-type: none"> 1) PRIDCO 2) PRIFA 3) PR Ports Authority 4) Toa Baja, Municipality of (FY04)

These pilots have more than one assessment grants.

* manila folder(s)

** accordion folder(s)

- These pilots have more than one assessment grants, and also have other type of grant (Clean-up, RLF, or JT).
- These pilots have one assessment grant and other type of grant (Clean-up, RLF, or JT).

Below is the structure for the 6-part folders based on the Official EPA Project File Document (attached) - please refer to this document for more details.

PART I

- **Proposal - separate folder**
 - Copy of **original** application and any application amendments with work plan/budget
 - Quality Assurance Documentation
- **Cooperative Agreement**
- **Terms and Conditions Letter**

PART II

- Correspondence relating to the application and/or summaries of same
- **RFP**
- **CIP**
- Application reviews, in house and extramural
Programmatic reviews
- Program memo regarding funding recommendation to Regional Administrator

PART III

- **Amendments to Cooperative Agreement**
 - Extension letters
 - Letter regarding new personnel or new targeted area

* manila folder(s)
.. accordion folder(s)

PART IV

- Other correspondence related to:
Award, Negotiation, Deviation, Continuation or Renewal, Termination, etc.
- Monitoring, Audits, Opinions, and Evaluations
- **Correspondence concerning negotiations and agreements (including correspondence regarding special conditions.)**
 - Site approvals
 - Travel approval
 - Computer-related supplies

Site visit reports (meeting and telephone conversations - notes to file)

PART V

- Financial Information
- Reimbursement requests (if bulky place in separate accordion folders)
- Commitment notices for HQ funds.
- **Financial status reports**
- Automated Clearinghouse Authorization

PART VI

- **Miscellaneous Information (press releases, fact sheets, pamphlets, etc.)**
2. Pilot Quarterly Reports ** in chronological order behind corresponding partition folder
 - a. Quarterly Report Summary sheet* - (place hanging folder in front of most recent quarterly report)
 3. Presentation materials** Pilot specific slides and brochures and additional documents describing the pilot.

* manila folder(s)
.. accordion folder(s)

IV. Job Training Grants (Divider)

A. Pilot Documents (Divider)

1. 6 part - partition folders for the following 8 grantees:

Follow same format as for Assessment pilots

- 1) New Jersey Youth Corps (Camden and Newark, NJ),(closed)
- 2) Universidad Metropolitana (UMET) (Puerto Rico)
- 3) New Jersey Youth Corps (Middlesex Co. and Phillipsburg) **old & new**
- 4) State University of New York (City of Buffalo, Niagara County, City of Niagara Falls)
- 5) Troy Rehabilitation and Improvement Program, Inc.
- 6) Williamsburg Works
- 7) St. Nicholas Neighborhood Preservation Corp.
- 8) City of Camden

2. Pilot Quarterly Reports** in chronological order behind corresponding partition folder

- a. Quarterly Report Summary sheet* - (place hanging folder in front of most recent quarterly report)

3. Presentation materials** - Pilot specific slides and brochures and additional documents describing the pilot.

V. Revolving Loan Fund (Divider)

A. Pilot Documents (Divider)

1. 6 part - partition folders for the following 9 grantees:

Follow same format as for Assessment pilots

- | | |
|---------------------------------------|----------------|
| 1) Essex County, NJ - | BL-982439-01-0 |
| 2) Hudson County, NJ - | BL-982109-01-0 |
| 3) NJEDA - | BF-98288603-0 |
| 4) Trenton, NJ - | BL-992755-01-0 |
| 5) Nassau County, NY - | BF-98297603-0 |
| 6) New York City - | BF-98298303-0 |
| 7) Niagara County/Niagara Falls, NY - | BL-982107-01-0 |
| 8) Rochester, NY - | BL-992754-01-0 |
| 9) Yonkers, NY - | BL-982108-01-0 |

Please note that these grantees were first awarded a Assessment Demonstration Pilot grant.

2. Pilot Quarterly Reports** in chronological order behind corresponding partition folder

- a. Quarterly Report Summary sheet * - (place hanging folder in front of most recent quarterly report)

3. Presentation materials** - Pilot specific slides and brochures and additional documents describing the pilot.

* manila folder(s)

** accordion folder(s)

VI. State Program (Divider)

Create section VI for each of the states agencies, NJ DEP, NYS DEC and PR EQB

A. Core/VCP (Divider)

1. 6 part partition folders - Follow same format as for Assessment pilots
2. Quarterly reports**

B. PA/SI Brownfields (Divider)

1. PA/SI Brownfields - 6 part partition folders - Follow same format as for Assessment pilots
2. TBA (Targeted Brownfields Assessment) reports* (state TBA only)
3. Quarterly reports**

C. General State Information (includes legislation, regulations, etc.) (Divider)

1. Reports**
2. General correspondence*

D. State Response Grants

1. New Jersey
2. New York
3. US Virgin Islands

VII. Army Corps of Engineers (ACOE) (Divider)

1. 6 part partition folders for ACOE interagency agreement

Follow same format as for Assessment pilots

- 1) New York District
- 2) Philadelphia District
- 3) North Atlantic Division

2. Quarterly Reports**

* manila folder(s)

** accordion folder(s)

VIII. Clean Up Grants

A. Pilot Documents (Divider)

1. 6 part partition folders for the following 5 grantees:

Follow same format as for Assessment pilots

1) Buffalo Urban Dev. (Formally DDI, Buffalo, NY FY03)	BF-98297803-0
2) Chautauqua County, NY (FY04)	BF-97287704-0
3) Glen Cove Community Development (Gladsky), NY (FY04)	BF-97285604-0
4) Gloucester City, NJ (FY03)	BF-98291903-0
5) Port Jervis, NY (FY03)	BF-98298103-0
6) Rochester, NY (FY03)	BF-97298603-0
7) The Point, NY (FY04)	BF-97287804-0
8) Trenton, NJ (FY03)	BF-97299903-0
9) Trenton, NJ (FY04)	BF-97287604-0

* manila folder(s)
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DELETION DOCKET FILE STRUCTURE

**U.S. EPA, REGION II
DELETION DOCKET FILE STRUCTURE**

- 1.0 Site Identification
- 2.0 Removal Response
- 3.0 Remedial Investigation
- 4.0 Feasibility Study
- 5.0 Health Assessments
- 6.0 Record of Decision
- 7.0 Remedial Design
- 8.0 Remedial Action
- 9.0 Long Term Response
- 10.0 Enforcement
- 11.0 Public Participation
- 12.0 Deletion Documents

FEDERAL FACILITIES FILE STRUCTURE

Federal Facilities File Structure

- 1.0 **Pre-Remedial (Cerulean Blue)**
 - 1.1 Site Discovery/103(c) Forms (inc. x-ref to docket)
 - 1.2 Background Information
 - 1.3 Preliminary Assessment Documentation
 - 1.3.1 Preliminary Assessment
 - 1.3.2 Preliminary Assessment Review Forms
 - 1.4 Site Inspection Documentation
 - 1.4.1 Site Inspection
 - 1.4.2 Site Inspection Review Forms
 - 1.5 HRS Packages
 - 1.6 Engineering Reports
 - 1.7 Other Reports and Data
 - 1.8 Correspondence
 - 1.8.1 Correspondence - inter-office
 - 1.8.2 Correspondence - state, federal facility, contractor, or local

- 2.0 **Removal (Blue/Violet)**
 - 2.1 Administrative/Operational
 - 2.2 Technical Information
 - 2.2.1 Background Information
 - 2.2.2 Polreps
 - 2.2.3 Reports and Data
 - 2.2.4 Action Memoranda
 - 2.2.5 Engineering Evaluation & Cost Analysis (EE/CA)
 - 2.3 Removal Community Relations
 - 2.4 Removal Correspondence
 - 2.4.1 Correspondence - inter-office
 - 2.4.2 Correspondence - state, local, or other government agencies
 - 2.4.3 Correspondence - federal facility/fed. fac. contractor
 - 2.4.4 Correspondence - PRP/PRP contractor

- 3.0 **Remedial Investigation/Feasibility Study (Pale Blue)**
 - 3.1 Administrative/Operational
 - 3.2 RI Technical Information
 - 3.2.1 Planning Documents
 - 3.2.2 Risk and Endangerment Assessments
 - 3.2.3 Health Assessments
 - 3.2.4 RI Reports
 - 3.2.5 Other Reports and Data
 - 3.3 FS Technical Information
 - 3.3.1 Feasibility Study
 - 3.3.2 Technology Information/Treatability Study
 - 3.4 RI/FS Community Relations
 - 3.5 RI/FS Correspondence
 - 3.5.1 Correspondence - inter-office
 - 3.5.2 Correspondence - state, local, or other government agencies
 - 3.5.3 Correspondence - federal facility/fed. fac. contractor
 - 3.5.4 Correspondence - PRP/PRP contractor

4.0 Record of Decision (Pale Blue)

- 4.1 Administrative/Operational
- 4.2 Technical ROD Information
 - 4.2.1 ROD
 - 4.2.2 Summary of Responses to ROD
 - 4.2.3 Proposed Plan
- 4.3 ROD Community Relations
- 4.4 ROD Correspondence
 - 4.4.1 Correspondence - inter-office
 - 4.4.2 Correspondence - state, local, or other government agencies
 - 4.4.3 Correspondence - federal facility/fed. fac. contractor
 - 4.4.4 Correspondence - PRP/PRP contractor
- 4.5 AR Index

5.0 Remedial Design (Pale Blue)

- 5.1 Administrative/Operational
- 5.2 Technical
 - 5.2.1 Remedial Design
 - 5.2.1.1 RD Work Plans
 - 5.2.1.2 RD Preliminary Design Reports
 - 5.2.1.3 RD Final Documents
 - 5.2.2 Technology Information/Treatability Study
 - 5.2.3 Other Reports and Data
- 5.3 RD Community Relations
- 5.4 RD Correspondence
 - 5.4.1 Correspondence - inter-office
 - 5.4.2 Correspondence - state, local, or other government agencies
 - 5.4.3 Correspondence - federal facility/fed. fac. contractor
 - 5.4.4 Correspondence - PRP/PRP contractor

6.0 Remedial Action (Pale Blue)

- 6.1 Administrative/Operational
- 6.2 RA Reports and Data
- 6.3 RA Community Relations
- 6.4 RA Correspondence
 - 6.4.1 Correspondence - inter-office
 - 6.4.2 Correspondence - state, local, or other government agencies
 - 6.4.3 Correspondence - federal facility/fed. fac. contractor
 - 6.4.4 Correspondence - PRP/PRP contractor

7.0 Long-Term Response (LTR), Operations & Maintenance (O&M) & Deletion (Pale Blue)

- 7.1 Administrative/Operational
- 7.2 Technical
 - 7.2.1 Long-term Response (LTR)
 - 7.2.2 Operations & Maintenance (O&M)
 - 7.2.3 NPL Deletion Package
- 7.3 LTR/O&M Community Relations
- 7.4 LTR/O&M Correspondence
 - 7.4.1 Correspondence - inter-office
 - 7.4.2 Correspondence - state, local, or other government agencies
 - 7.4.3 Correspondence - federal facility/fed. fac. contractor
 - 7.4.4 Correspondence - PRP/PRP contractor

8.0 General Enforcement (Orange)

- 8.1 PRP (non-federal facility 3rd parties) Information
 - 8.1.1 General PRP Information
 - 8.1.2 PRP Specific Information
- 8.2 Administrative Orders/Consent Decrees/Federal Facility Agreements (Interagency Agreements)
- 8.3 Disputes
- 8.4 Correspondence
 - 8.4.1 Correspondence - inter-office
 - 8.4.2 Correspondence - state, local, or other government agencies
 - 8.4.3 Correspondence - federal facility/fed. fac. contractor

9.0 Cost Recovery (*Forest Green*)

- 9.1 Cost Information
 - 9.1.1 Cost Summaries
 - 9.1.2 Redacted Cost Documentation
- 9.2 Cost Information - Confidential
 - 9.2.1 Checklist
 - 9.2.2 SPURs
 - 9.2.3 Unredacted Cost Recovery Information
- 9.3 Cost Recovery Correspondence

10.0 Public/Congressional Involvement (Yellow)

- 10.1 Controlled Correspondence
- 10.2 General Correspondence
- 10.3 News Clippings
- 10.4 Hearings and Evaluations
- 10.5 FOIA Management
- 10.6 Technical Assistance Grants (TAGs)

11.0 Funding Information (Taupe)

- 11.1 REM/ARCS/RACS
 - 11.1.1 Funding Action
 - 11.1.2 Work Plans
 - 11.1.3 Budget
 - 11.1.4 Progress Reports
 - 11.1.5 Performance Evaluations
 - 11.1.6 Correspondence - inter-office
 - 11.1.7 Correspondence - contractor, state, or federal facility
- 11.2 TES / ESS
 - 11.2.1 Funding Action
 - 11.2.2 Work Plans
 - 11.2.3 Budget
 - 11.2.4 Progress Reports
 - 11.2.5 Performance Evaluations
 - 11.2.6 Correspondence - inter-office
 - 11.2.7 Correspondence - contractor, state, or federal facility

- 11.3 Inter-Agency Agreements (IAG) Information
 - 11.3.1 Funding Action
 - 11.3.2 Technical Assistance Authorization
 - 11.3.3 Progress Reports
 - 11.3.4 Vouchers
 - 11.3.5 Correspondence - inter-office
 - 11.3.6 Correspondence - contractor, state, or federal facility
- 11.4 ROCS
 - 11.4.1 Correspondence - inter-office
 - 11.4.2 Correspondence - contractor, state, or federal facility
- 11.5 START
 - 11.5.1 Correspondence - inter-office
 - 11.5.2 Correspondence - contractor, state, or federal facility
- 12.0 **Base Closure Information (Pearl Green)**
 - 12.1 Environmental Baseline Survey
 - 12.2 Reuse Plans
 - 12.3 Environmental Impact Statement
 - 12.4 Correspondence (related to above)
- 13.0 **Property Transfer Information (New Brown)**
 - 13.1 CERCLA 120(h) Property Clean Up Documents
 - 13.2 Findings of Suitability To Lease (FOSLs) & Leases
 - 13.3 Findings of Suitability To Transfer (FOSTs) & Deeds
 - 13.4 Correspondence on Property Transfer
- 14.0 **Non-CERCLA Reports (Maroon)**
 - 14.1 Non-CERCLA Reports
- 15.0 **Imagery (Grey)**
 - 15.1 Imagery

PRE-REMEDIAL FILE STRUCTURE

PRE-REMEDIAL FILE STRUCTURE

- 1.0 SITE DISCOVERY/ INITIATION**
 - 1.1 Chron. Site History (incl 103c)
 - 1.2 Petition Letters
 - 1.3 Background Information/ Miscellany

- 2.0 PUBLIC/ CONGRESSIONAL INVOLVEMENT**
 - 2.1 Congressionals
 - 2.2 FOIAs
 - 2.3 State Correspondence
 - 2.4 EPA Correspondence
 - 2.5 Clippings
 - 2.6 Telephone Logs

- 3.0 STATE REPORTS**
 - 3.1 State Reports

- 4.0 PRELIMINARY ASSESSMENT (PA)**
 - 4.1 PA Reports
 - 4.2 PA Scoresheets

- 5.0 SITE INSPECTION (SI)**
 - 5.1 SI Reports
 - 5.2 SI Scoresheets

- 6.0 SITE INSPECTION PRIORITIZATION (SIP)**
 - 6.1 SIP Reports
 - 6.2 SIP Scoresheets

- 7.0 EXPANDED SITE INSPECTION (ESI)**
 - 7.1 ESI Reports
 - 7.2 ESI Scoresheets

- 8.0 EXPANDED SI/RMDL INVESTIGATION (ESI/RI)**
 - 8.1 ESI/RI Reports
 - 8.2 ESI/RI Scoresheets

- 9.0 HRS REPORT AND SCORESHEETS**
 - 9.1 Hazard Ranking System (HRS) Docs

- 10.0 INTEGRATED ASSESSMENT (IA)**
 - 10.1 IA Reports
 - 10.2 IA Scoresheets

- 11.0 REMOVAL INFORMATION**
 - 11.1 Removal Action Memos
 - 11.2 POLREPs

- 12.0 OTHER REPORTS**
 - 12.1 Other Reports

- 13.0 IMAGERY**
 - 13.1 Imagery

**REMEDIAL ADMINISTRATIVE RECORD
FILE STRUCTURE**

REMEDIAL ADMINISTRATIVE RECORD FILE STRUCTURE

- 1.0 SITE IDENTIFICATION
 - 1.1 Background - RCRA and other Information
 - 1.2 Notification/Site Inspection Reports
 - 1.3 Preliminary Assessment Reports
 - 1.4 Site Investigation Reports
 - 1.5 Previous Operable Unit Information
 - 1.6 Correspondence

- 2.0 REMOVAL RESPONSE
 - 2.1 Sampling and Analysis Plans
 - 2.2 Sampling and Analysis data/Chain of Custody Forms
 - 2.3 EE/CA Approval Memorandum (for non-time-critical removals)
 - 2.4 EE/CA
 - 2.5 Action Memorandum
 - 2.6 Amendments to Action Memorandum
 - 2.7 Correspondence

- 3.0 REMEDIAL INVESTIGATION
 - 3.1 Sampling and Analysis Plans
 - 3.2 Sampling and Analysis Data/Chain of Custody Forms
 - 3.3 Work Plans
 - 3.4 Remedial Investigation Reports
 - 3.5 Correspondence

- 4.0 FEASIBILITY STUDY
 - 4.1 Applicable or Relevant and Appropriate Requirements (ARAR's) Determinations
 - 4.2 Feasibility Study Work Plans
 - 4.3 Feasibility Study Reports
 - 4.4 Proposed Plans (SOP, FOP)
 - 4.5 Supplements and Revisions to Proposed plan
 - 4.6 Correspondence

- 5.0 RECORD OF DECISION
 - 5.1 Record of Decision
 - 5.2 Amendment to the Record of Decision
 - 5.3 Explanations of Significant Differences
 - 5.4 Correspondence

- 6.0 STATE COORDINATION
 - 6.1 Cooperative Agreements/SMOA's

6.2 State Certification of Applicable or Relevant and
Appropriate Requirements

6.3 Correspondence

7.0 ENFORCEMENT

7.1 Enforcement History

7.2 Endangerment Assessments

7.3 Administrative Orders

7.4 Consent Decrees

7.5 Affidavits

7.6 Documentation of Technical Discussions with PRP's

7.7 Notice Letters and Responses - 104e's

7.8 Correspondence

8.0 HEALTH ASSESSMENTS

8.1 ATSDR Health Assessments

8.2 Toxicological Profiles

8.3 Correspondence

9.0 NATURAL RESOURCE TRUSTEES

9.1 Notices Issued

9.2 Findings of Fact

9.3 Reports

9.4 Correspondence

10.0 PUBLIC PARTICIPATION

10.1 Comments and Responses

10.2 Community relations Plans

10.3 Public Notices

10.4 Public Meeting Transcripts

10.5 Documentation of Other Public Meetings

10.6 Fact Sheets and Press Releases

10.7 Responsiveness Summary

10.8 Late Comments

10.9 Proposed Plan

10.10 Correspondence (FOIA)

11.0 TECHNICAL SOURCES AND GUIDANCE DOCUMENTS

11.1 EPA Headquarters

11.2 EPA Regional Guidance

11.3 State Guidance

11.4 Technical Sources

REMEDIAL SITE FILE STRUCTURE

**U.S. EPA, REGION II
REMEDIAL RECORD CENTER SITE FILE STRUCTURE**

- 1.0 Pre-Remedial (Cerulean Blue)**
 - 1.1 Background Information/Correspondence
 - 1.2 Site Discovery/103(c) Forms
 - 1.3 Preliminary Assessment (PA)
 - 1.4 Site Investigation (SI)
 - 1.5 HRS Packages

- 2.0 Removal (Blue/Violet)**
 - 2.1 Administrative/Operational
 - 2.2 Technical Information
 - 2.2.1 State Memos and Correspondence
 - 2.2.2 Background Information
 - 2.2.3 Action Memoranda
 - 2.2.4 POLREPs
 - 2.2.5 Hazardous Waste Manifests/RCRA ID
 - 2.2.6 OSC Reports
 - 2.3 Community Relations
 - 2.4 Correspondence (Non-Enforcement)
 - 2.5 Enforcement
 - 2.5.1 Orders/Decrees
 - 2.5.2 Oversight Correspondence
 - 2.5.3 Correspondence with PRPs

- 3.0 Remedial Investigation/Feasibility Study (Pale Blue)**
 - 3.1 Administrative/Operational
 - 3.2 Planning Documents
 - 3.3 Trustee Coordination
 - 3.4 RI Technical Information
 - 3.4.1 Field Operations Plans
 - 3.4.2 Other Reports/Data
 - 3.4.3 Risk/Endangerment Assessments
 - 3.4.4 Health Assessments (ATSDR)
 - 3.4.5 RI Reports
 - 3.5 FS Technical Information
 - 3.5.1 Feasibility Study
 - 3.5.2 Technology Information/Treatability Study
 - 3.6 Community Relations
 - 3.7 Correspondence (Non-Enforcement)

-
- 3.8 Enforcement
 - 3.8.1 Orders/Decrees
 - 3.8.2 Oversight Correspondence
 - 3.8.3 Correspondence with PRPs

 - 4.0 **Record of Decision (Pale Blue)**

 - 4.1 Administrative/Operational
 - 4.2 Technical ROD Information
 - 4.2.1 Record of Decision
 - 4.2.2 Responsiveness Summary
 - 4.2.3 Proposed Plan
 - 4.3 Community Relations
 - 4.4 Correspondence
 - 4.5 Administrative Record Index

 - 5.0 **Remedial Design (Pale Blue)**

 - 5.1 Administrative/Operational
 - 5.2 Technical
 - 5.2.1 Remedial Design
 - 5.2.1.1 RD Work Plans
 - 5.2.1.2 RD Preliminary Design Reports
 - 5.2.1.3 RD Final Documents
 - 5.2.2 Technology Information/Treatability Study
 - 5.2.3 Permit/Discharge Limitations
 - 5.3 Community Relations
 - 5.4 Correspondence (Non-Enforcement)
 - 5.5 Enforcement
 - 5.5.1 Orders/Decrees
 - 5.5.2 Oversight Correspondence
 - 5.5.3 Correspondence with PRPs

 - 6.0 **Remedial Action (Pale Blue)**

 - 6.1 Administrative/Operational
 - 6.2 Technical
 - 6.2.1 RA Reports
 - 6.2.2 Change Orders
 - 6.3 Community Relations
 - 6.4 Correspondence (Non-Enforcement)
 - 6.5 Enforcement
 - 6.5.1 Orders/Decrees
 - 6.5.2 Oversight Correspondence
 - 6.5.3 Correspondence with PRPs

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- 7.0 **Long-Term Response (LTR), Operations & Maintenance (O&M) & Deletion**
(Pale Blue)
 - 7.1 Administrative/Operational
 - 7.2 Technical
 - 7.2.1 Long-term Response (LTR)
 - 7.2.2 Operations & Maintenance (O&M)
 - 7.2.3 NPL Deletion Package
 - 7.3 Community Relations
 - 7.4 Correspondence (Non-Enforcement)
 - 7.5 Enforcement
 - 7.5.1 Orders/Decrees
 - 7.5.2 Oversight Correspondence
 - 7.5.3 Correspondence with PRPs

 - 8.0 **General Enforcement (Orange)**
 - 8.1 PRP Information
 - 8.1.1 PRP Search
 - 8.1.2 PRP-Specific Information and Correspondence
 - 8.1.3 General PRP Information and Correspondence
 - 8.2 Case Management Plan
 - 8.3 Administrative Orders/Consent Decrees
 - 8.3.1 Administrative Orders/Consent Decrees
 - 8.3.2 Supporting Memoranda
 - 8.4 Litigation
 - 8.4.1 Public Court Documents
 - 8.4.2 Privileged Litigation Support Documents
 - 8.5 Enforcement Correspondence

 - 9.0 **Cost Recovery (Green)**
 - 9.1 Cost Information
 - 9.1.1 Cost Summaries
 - 9.1.2 Redacted Cost Documentation
 - 9.2 Cost Information
 - 9.2.1 Checklist
 - 9.2.2 SPURs
 - 9.2.3 Unredacted Cost Documentation
 - 9.3 Correspondence

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- 10.0 **Public/Congressional Involvement (Yellow)**
 - 10.1 Controlled Correspondence
 - 10.2 General Correspondence
 - 10.3 Clippings
 - 10.4 Hearings and Evaluations
 - 10.5 FOIA Management
 - 10.6 Technical Assistance Grants (TAG)

 - 11.0 **Funding Information (Taupe)**
 - 11.1 REM/ARCS/RACS
 - 11.1.1 Funding Action
 - 11.1.2 Work Plans
 - 11.1.3 Budget
 - 11.1.4 Progress Reports
 - 11.1.5 Correspondence
 - 11.2 TES / ESS
 - 11.2.1 Work Assignments and Amendments
 - 11.2.2 Work Plans and Amendments
 - 11.2.3 Monthly Progress Reports
 - 11.2.4 Performance Evaluations
 - 11.2.5 Miscellaneous
 - 11.2.6 Deliverables
 - 11.2.7 Correspondence-In
 - 11.2.8 Correspondence-Out
 - 11.3 Inter-Agency Agreements (IAG) Information
 - 11.3.1 Funding Action
 - 11.3.2 Technical Assistance Authorization
 - 11.3.3 Progress Reports
 - 11.3.4 Vouchers
 - 11.3.5 Correspondence
 - 11.4 State Lead Cooperative Agreement
 - 11.4.1 Cooperative Agreement (CA) Applications
 - 11.4.2 Action Memoranda
 - 11.4.3 Cooperative Agreements/Special Conditions/Amendments
 - 11.4.4 Financial Summary Report (FSR)
 - 11.4.5 Progress Reports
 - 11.4.6 Correspondence

 - 12.0 **Imagery (Grey)**
 - 12.1 Imagery

**REMOVAL ADMINISTRATIVE RECORD
FILE STRUCTURE**

REMOVAL ADMINISTRATIVE RECORD FILE STRUCTURE

- 1.0 FACTUAL INFORMATION/DATA**
 - 1.1 Preliminary Assessment
 - 1.2 Site Investigation
 - 1.3 POLREPs
 - 1.4 Work Plan
 - 1.5 Health and Safety Plan
 - 1.6 Sampling Plan
 - 1.7 Sampling Data/Data Summary Sheets/Chain of Custody Forms
 - 1.8 Inspection Reports
 - 1.9 Technical/Treatability Studies
 - 1.10 Endangerments/Risk Assessments
 - 1.11 Correspondence

- 2.0 Decision Documents**
 - 2.1 EE/CA Approval Memo and EE/CA
 - 2.2 Action Memoranda and Amendments
 - 2.3 Documentation of State Involvement
 - 2.4 Documentation of Compliance with ARARs
 - 2.5 Responses to Significant Comments
 - 2.6 Record of Decision and Amendments
 - 2.7 Correspondence

- 3.0 PUBLIC PARTICIPATION**
 - 3.1 Public Notice of Administrative Record Availability
 - 3.2 Community Relations Plan
 - 3.3 Fact Sheets
 - 3.4 Public Notices of Meetings/Opportunities to Comment
 - 3.5 Documentation of Public Meetings
 - 3.6 Press Coverage
 - 3.7 Correspondence

- 4.0 ENFORCEMENT DOCUMENTS**
 - 4.1 Notice Letters to PRPs and Responses
 - 4.2 Section 104(e) Information Request Letters and Responses
 - 4.3 Affidavits/Subpoenas
 - 4.4 Administrative Orders/Consent Decrees
 - 4.5 Correspondence

- 5.0 OTHER AGENCY DOCUMENTATION**
 - 5.1 Interagency Agreements
 - 5.2 Cooperative Agreements
 - 5.3 State/Federal Agency Comments
 - 5.4 ATSDR Health Assessments/Other Health Studies
 - 5.5 Congressional Correspondence

- 6.0 POLICY AND GUIDANCE**
 - 6.1 Site- or issue-specific Policy Memos
 - 6.2 Guidance Documents
 - 6.3 Technical Literature

REMOVAL SITE FILE STRUCTURE

Region II Removal Site File Structure

1.0 Administrative (Avocado Green)

- 1.1 Background Operational Information
- 1.2 Action Memorandum
 - 1.2.1 Action Memo
 - 1.2.2 Scope Modification
 - 1.2.3 Twelve Month Exemption
 - 1.2.4 Two Million Dollar Exemption
- 1.3 State Memos/Correspondence
- 1.4 Office of Inspector General Evaluations
- 1.5 Permits, Permit Applications
- 1.6 Inter Agency Agreements
- 1.7 Cooperative Agreements
- 1.8 Fact Sheets (Internal)
- 1.9 OSC Report Cross Reference
- 1.10 Administrative Record Index Cross Reference

2.0 Technical (Blue/Violet)

2.1 Pre-Removal

- 2.1.1 Reference/Request Document
- 2.1.2 Access Agreement
- 2.1.3 Site Entry Safety Plan
- 2.1.4 Contingency Plan
- 2.1.5 POLREPS
- 2.1.6 Removal Site Evaluation
 - 2.1.6.1 Removal PA
 - 2.1.6.2 Removal SI
 - 2.1.6.3 Background/Technical Information
 - 2.1.6.4 Removal Planning Documents
 - 2.1.6.5 Endangerment Assessments
 - 2.1.6.6 Health Assessments (ATSDR, etc.)
 - 2.1.6.7 Site Evaluation Documentation
 - 2.1.6.8 Remedial Investigation/Feasibility Study
 - 2.1.6.9 Proposed Remedial Action Plan
 - 2.1.6.10 Record of Decision
- 2.1.7 Engineering Evaluation & Cost Analysis (EE/CA)
- 2.1.8 Bench Scale (Pilot) Study Results
- 2.1.9 Correspondence

2.2 Removal Operations

- 2.2.1 Site Safety Plan
- 2.2.2 OSHA Evaluations
- 2.2.3 POLREPS
- 2.2.4 Work Plan
- 2.2.5 Removal Progress Logs
 - 2.2.5.1 Obligation/Expenditure Logs
 - 2.2.5.2 Drum Inventory Logs
 - 2.2.5.3 Contractor Work Reports
 - 2.2.5.4 Site Entry/Exit Log

- 2.2.5.5 Hot Zone Entry/Exit Log
 - 2.2.5.6 Equipment Usage Log
 - 2.2.6 Disposal Reports
 - 2.2.6.1 Wastestream Disposition/Profile Sheets
 - 2.2.6.2 Offsite Policy Documentation
 - 2.2.6.3 Disposal Record/ HW manifests/RCRA ID
 - 2.2.7 OSC Reports
 - 2.2.8 Correspondence
 - 2.3 Sampling (Pre-removal and Removal)
 - 2.3.1 Site Sampling and Analytical Plan (including QA/QC)
 - 2.3.2 Field Analysis
 - 2.3.3 Lab Analysis
 - 2.3.4 Chain of Custody
 - 2.4 Imagery
- 3.0 Enforcement (Orange)
 - 3.1 PRP Information
 - 3.1.1 PRP Search (CONFIDENTIAL)
 - 3.1.2 PRP Specific Information and Correspondence (i.e. Notice Letter, Information Request Letters, Responses, Field Expedient)
 - 3.1.3 General PRP Information and Correspondence (i.e. PRP Steering Committee and Non PRP-Specific Information)
 - 3.2 CERCLA Administrative Orders/Consent Decrees (sections 106 & 107)
 - 3.2.1 Administrative Orders/Consent Decrees
 - 3.2.2 Supporting Memorandum (CONFIDENTIAL)
 - 3.3 EPCRA Administrative Orders/Consent Decrees and Complaints
 - 3.3.1 ARIP Questionnaire
 - 3.3.2 Administrative Orders/Consent Decrees
 - 3.3.3 Supporting Memorandum (CONFIDENTIAL)
 - 3.3.4 Complaints
 - 3.4 Non-CERCLA Orders (RCRA, Oil Spill Log, SPCC Inspections/Orders)
 - 3.5 State Enforcement (Orders)
 - 3.6 Litigation
 - 3.6.1 Public Court Documents
 - 3.6.2 Privileged Litigation Support Documents (CONFIDENTIAL)
 - 3.7 PRP Final Report/Closeout Report
 - 3.8 Oversight Report
 - 3.9 Cost Recovery
 - 3.10 Correspondence
- 4.0 Public Involvement (Yellow)
 - 4.1 Fact Sheet (Public)
 - 4.2 Media Reports/Clippings

- 4.3 FOIA Requests, Congressionals, and Other Information Requests
- 4.4 Community Relations Plan
- 4.5 Administrative Record Index
- 4.6 Correspondence

5.0 Contract Administration (Taupe)

- 5.1 Contract Administration
 - 5.1.1 ERCS Contractor Choice Document (CONFIDENTIAL)
 - 5.1.2 ERCS Existing Contracts/Mitigation Contracts
 - 5.1.2.1 Procurement Requests
 - 5.1.2.2 Delivery Order
 - 5.1.2.3 Modifications/Amendments
 - 5.1.2.4 Daily Work Order
 - 5.1.2.5 Daily Activity Report [1900-55 (CONFIDENTIAL)]
 - 5.1.2.6 Daily Cost Summary
 - 5.1.2.7 Monthly Cost Summary
 - 5.1.2.8 Yearly Usage Summary
 - 5.1.2.9 Performance Evaluations
 - 5.1.2.10 Invoices (CONFIDENTIAL)
 - 5.1.2.11 Contractor Progress Reports
 - 5.1.2.12 Correspondence
 - 5.1.3 ERCS Site Specific Contracts/ Purchase
- 5.2 TAT/START Contract Administration
 - 5.2.1 TDD and Daily Work Orders
 - 5.2.1.1 TDD
 - 5.2.1.2 Daily Work Orders
 - 5.2.2 Performance Observation Report
 - 5.2.3 Cost Summary
 - 5.2.4 Contractor Progress Reports
 - 5.2.5 Other
- 5.3 FIT Reports
- 5.4 TES/ESS Contracts