

DEPARTMENT OF ENVIRONMENT, HEALTH, AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION
DIVISION OF ENVIRONMENTAL MANAGEMENT
ADMINISTRATIVE SERVICES

Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

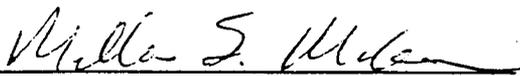
ADMINISTRATIVE SERVICES

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including machine readable records not listed in this schedule are not authorized to be destroyed.** The

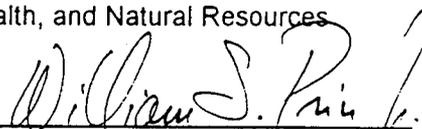
ADMINISTRATIVE SERVICES

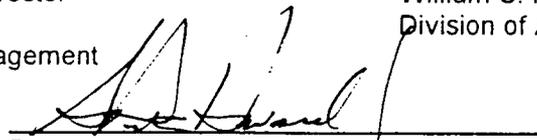
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

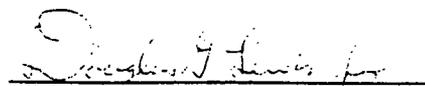

Melba S. McGee, Chief Records Officer
Department of Environment, Health, and Natural Resources

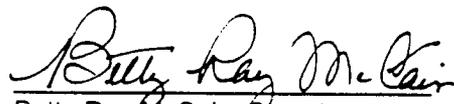

Denise S. Hodges, Assistant Director
for Administration
Division of Environmental Management


William S. Price, Jr., Director
Division of Archives and History


Preston Howard, Acting Director
Division of Environmental Management

APPROVED


Steve Levitas, Deputy Secretary
Department of Environment, Health,
and Natural Resources


Betty Ray McCain, Secretary
Department of Cultural Resources

January 29, 1993

This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

DWM

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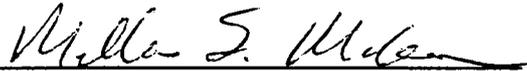
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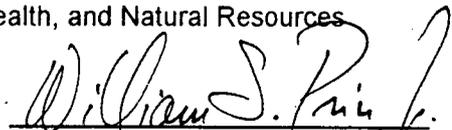
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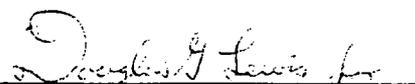


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January 29, 1993

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**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION
DIVISION OF ENVIRONMENTAL MANAGEMENT
ADMINISTRATIVE SERVICES
BUDGET OFFICE**

ITEM 17338. GRANTS FILE.

Records concerning state and federal grants for all sections of Division of Environmental Management. File includes grant applications, grant awards, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion of grant and when released from all audits, whichever occurs later.

ITEM 17341. CORRESPONDENCE FILE.

Correspondence to and from sections of Division of Environmental Management and other divisions within the department concerning budget-related subjects.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 33803. UNDERGROUND STORAGE TANK PROGRAM FILE.

Deposit slips for the receipt of fees from facilities which own underground storage tanks. Accounting fund codes, facility identification numbers, dates and amounts of payments, names of individuals making payments, and other related data are entered into Underground Storage Tank Program Database (Electronic) File (Item 33804) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office when need for refund research ends.

ITEM 33804. UNDERGROUND STORAGE TANK PROGRAM DATABASE (ELECTRONIC) FILE.

Machine readable records concerning the receipt of fees from facilities which own underground storage tanks. Accounting fund codes, facility identification numbers, dates and amounts of payments, names of individuals making payments, and other related data are entered into this electronic file. (Electronic database systems are maintained by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 33805. UNDERGROUND STORAGE TANK PROGRAM PRINTOUTS FILE.

Computer printouts listing facilities which have been invoiced for the payment of fees.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 33806. WATER AND AIR PERMIT FEE PROGRAM FILE.

Records concerning the processing of invoices for water and air permit fees. File includes invoices, correspondence to and from facilities, memorandums authorizing the revocation of permits, and other related records. Permit numbers, permit recension dates, permit revocation dates, and other related data are entered into Water and Air Permit Fee Program Database (Electronic) File (Item 33807) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office invoices after 3 years and when released from all audits, whichever occurs later. Destroy in office remaining records after 3 years.

ITEM 33807. WATER AND AIR PERMIT FEE PROGRAM DATABASE (ELECTRONIC) FILE.

Machine readable records concerning the processing of invoices for water and air permit fees. Permit numbers, permit recension dates, permit revocation dates, and other related data are entered into this electronic file. (Electronic database systems are maintained by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

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ADMINISTRATIVE SERVICES
BUDGET OFFICE**

ITEM 33808. WATER AND AIR PERMIT FEE PROGRAM PRINTOUTS FILE.

Computer printouts listing permit numbers and amounts owed for facilities' invoices, overdue fees, facilities which are exempt from fee payments, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

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ADMINISTRATIVE SERVICES
PERSONNEL OFFICE**

ITEM 33822. MONTHLY MANAGEMENT INFORMATION SYSTEM (MIS) PRINTOUTS FILE.

Computer printouts listing accounting fund codes, activity codes, and other related information.

DISPOSITION INSTRUCTIONS: Destroy in office 6 months after released from all audits.

ITEM 33824. PERSONNEL (INACTIVE) FILE.

Records concerning former Division of Environmental Management personnel. File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

(Records concerning personnel of the Division of Environmental Management dated prior to this schedule were transferred to the State Records Center as Item 2484 in Department of Environment, Health, and Natural Resources, Division of Personnel schedule.) Amended 4-11-03

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency in the State Records Center 25 additional years and then destroyed. Destroy records currently being held for agency in the State Records Center 30 years from date of record.

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ADMINISTRATIVE SERVICES
RECORDS MANAGEMENT UNIT**

ITEM 2602. DIVISION OF ENVIRONMENTAL MANAGEMENT CORRESPONDENCE FILE.

Correspondence to and from Division of Environmental Management, Air Quality Section, Groundwater Section, and Water Quality Section concerning air quality permits, sub-basin allocations, National Pollutant Discharge Elimination System (NPDES) permits, non-discharge permits, coastal development permits and water certification processes, well construction permits, capacity use permits, inject well permits, waste disposal permits, and other related subjects.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 2604. COUNTY PERMITS FILE.

National Pollutant Discharge Elimination System (NPDES), non-discharge, well construction, capacity use, inject well, waste disposal, and air quality permits. File also includes sub-basin allocations records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 20 additional years and then destroyed.

ITEM 2605. MONTHLY DISCHARGE MONITORING REPORTS FILE.

Reference copies of completed monitoring reports (form MR-1.1) submitted by facilities which discharge pollutants into surface waters. Facilities' and operators' names, National Pollutant Discharge Elimination System (NPDES) permit numbers, dates, and other related data are entered into Compliance Database (Electronic) File (Item 33843) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

ITEM 17350. CONFIDENTIAL INDUSTRIAL FILE.

Records concerning facilities' violations, permit denials, and emissions improvements. File includes emissions improvement plans, correspondence, procedures for allocating permit limits, production summaries, and other related records. (Comply with applicable provisions of G.S. 143-215.3(a)(2) regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 20 additional years and then destroyed.

ITEM 33843. COMPLIANCE DATABASE (ELECTRONIC) FILE.

Machine readable records concerning permittees' monthly discharge monitoring reports. Facilities' and operators' names, National Pollutant Discharge Elimination System (NPDES) permit numbers, dates, and other related data are entered into this electronic file. (Electronic database systems are maintained by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 35674. ANNUAL, QUARTERLY, AND MONTHLY NON-DISCHARGE REPORTS FILE.

Annual, quarterly, and monthly reports submitted by wastewater treatment facilities which do not discharge domestic or pre-treated industrial waste into surface waters. Amended 4-22-94

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

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USER SUPPORT AND COMPUTER OPERATIONS UNIT**

ITEM 17357. TECHNICAL REFERENCE FILE.

Technical reference manuals concerning computer operating systems, software packages, computer programming languages, vendor products, and other related subjects.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 33829. CLEAN LAKES AND STRATIFIED FIELDS FILE.

Completed forms listing results of analyses of water samples from clean lakes and stratified fields. Station numbers, times and dates samples were taken, depths of samples, results of analyses, and other related data are entered into Storage and Retrieval Database (Electronic) File (Item 33839) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to Water Quality Data File (Item 2615) in Division of Environmental Management, Laboratory Section after pertinent data is entered into Storage and Retrieval Database (Electronic) File (Item 33839) and completion of quality control procedures.

ITEM 33830. COMPLIANCE DATABASE (ELECTRONIC) FILE.

Machine readable records concerning permittees' discharge limits. Permit numbers, dates of analyses, influent and effluent analysis measurements, status of permits, discharge limits, and other related data are entered into this electronic file. (Electronic database systems are maintained by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 33832. MONTHLY DISCHARGE MONITORING REPORTS FILE.

Completed monitoring reports (form MR-1.1) submitted by facilities which discharge pollutants into surface waters. Results of upstream, downstream, influent, and effluent measurements are entered into Compliance Database (Electronic) File (Item 33830) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to appropriate Regional Office of the Water Quality Section after pertinent data is entered into Compliance Database (Electronic) File (Item 33830) and completion of quality control procedures.

ITEM 33833. PERMITS FILE.

Reference copies of permits issued to major and minor facilities by the Water Quality Section listing discharge limits. Permit numbers, status of permits, discharge limits, and other related data are entered into Compliance Database (Electronic) File (Item 33830) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office permits for minor facilities after pertinent data is entered into Compliance Database (Electronic) File (Item 33830) and completion of quality control procedures. Transfer permits for major facilities to National Pollutant Discharge Elimination System (NPDES) Permits File (Item 17509) or to Non-Discharge Permits File (Item 17510) in Division of Environmental Management, Water Quality Section, Permits and Engineering Branch after pertinent data is entered into Compliance Database (Electronic) File (Item 33830) and completion of quality control procedures.

ITEM 33834. PERMITS PRINTOUTS FILE.

Computer printouts listing facilities' names, permit numbers, facilities' addresses, permit issue and expiration dates, materials discharged by facilities, discharge limits, violations by facilities, and other related information.

DISPOSITION INSTRUCTIONS: Return to requestor when generated.

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ITEM 33835. PHYTOPLANKTON FILE.

Completed forms listing phytoplanktons found in water samples. Station numbers, organism codes, concentration levels, and other related data are entered into Storage and Retrieval Database (Electronic) File (Item 33839) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to Phytoplankton File (Item 33913) in Division of Environmental Management, Water Quality Section, Environmental Sciences Branch after pertinent data is entered into Storage and Retrieval Database (Electronic) File (Item 33839) and completion of quality control procedures.

ITEM 33836. PRETREATMENT MONITORING REPORTS DATABASE (ELECTRONIC) FILE.

Machine readable records concerning results of analyses of wastewater before it is treated. Analysis results are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each floppy disk to an off-site location for backup storage. Agency representative will update periodically. Erase in office floppy disks when reference value ends.

ITEM 33837. PRETREATMENT MONITORING REPORTS FILE.

Completed forms listing results of analyses of wastewater before it is treated. Analysis results are entered into Pretreatment Monitoring Reports Database (Electronic) File (Item 33836) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to Phase I and Phase II Water Pretreatment Program File (Item 17598) in Division of Environmental Management, Water Quality Section, Technical Support Branch after pertinent data is entered into Pretreatment Monitoring Reports Database (Electronic) File (Item 33836) and completion of quality control procedures.

ITEM 33838. STATION HEADERS FILE.

Completed forms listing station numbers, secondary station numbers, latitude and longitude of stations, and other related information. Station numbers, latitude and longitude of stations, and other related data are entered into Storage and Retrieval Database (Electronic) File (Item 33839) and routinely updated.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 33839. STORAGE AND RETRIEVAL DATABASE (ELECTRONIC) FILE.

Machine readable records concerning results of analyses of various water quality measurements. Station numbers, results of analyses, depths of samples, concentration levels of phytoplankton, fish species names, latitudes and longitudes of stations, and other related data are entered into this electronic file. (Electronic database systems are maintained by the Environmental Protection Agency in Research Triangle Park, N.C.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 33840. UNITED STATES GEOLOGICAL SURVEY (USGS) BATCH FILE.

Completed forms listing station numbers, station names, latitude and longitude of stations, and other related information. Station numbers, station names, latitude and longitude of stations, dates of requests for information, and other related data are entered into United States Geological Survey (USGS) Master Database (Electronic) File (Item 33841) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to Stream Flow Data File (Item 17429) in Division of Environmental Management, Water Quality Section, Technical Support Branch after pertinent data is entered into United States Geological Survey (USGS) Master Database (Electronic) File (Item 33841) and completion of quality control procedures.

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ITEM 33841. UNITED STATES GEOLOGICAL SURVEY (USGS) MASTER DATABASE (ELECTRONIC) FILE.

Machine readable records concerning the location of wastewater monitoring stations. Station numbers, station names, latitude and longitude of stations, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each magnetic tape to an off-site location for backup storage. Agency representative will update periodically.

ITEM 33842. WATER QUALITY DATABASE (ELECTRONIC) FILE.

Machine readable records concerning Water Quality Section mailing lists. Code numbers for mailing lists, names and addresses of individuals to be added to mailing lists, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each magnetic tape to an off-site location for backup storage. Agency representative will update periodically.