

DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION

Program Records Retention and Disposition Schedule

The Program 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

**TECHNICAL SERVICES SECTION**

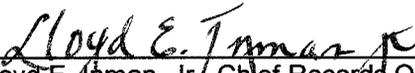
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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 electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

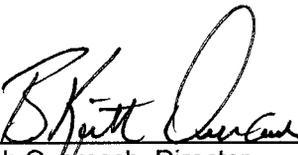
The

**TECHNICAL SERVICES SECTION**

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 This schedule is to remain in effect until superseded.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**

  
\_\_\_\_\_  
Lloyd E. Inman, Jr., Chief Records Officer  
Department of Environment and Natural Resources

  
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Keith Overcash, Director  
Division of Air Quality

  
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Jeffrey J. Crow, Deputy Secretary  
Office of Archives and History

**APPROVED**

  
\_\_\_\_\_  
William G. Ross, Jr., Secretary  
Department of Environment and  
Natural Resources

  
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Lisbeth C. Evans, Secretary  
Department of Cultural Resources

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
MOBILE SOURCE COMPLIANCE**

Amend the program records retention and disposition schedule approved July 23, 2003 by changing the disposition instructions for Item 17373 as shown on substitute page dated November 5, 2003.

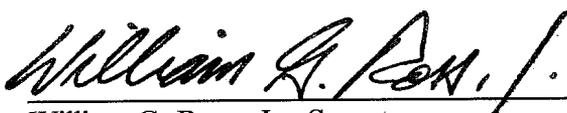
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**APPROVED**

  
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William G. Ross, Jr., Secretary  
Department of Environment and  
Natural Resources

  
\_\_\_\_\_  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 5, 2003

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**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
MOBILE SOURCE COMPLIANCE**

**ITEM 17371. EMISSIONS INVENTORY MASTER DETAILED FILE.**

Records concerning listing of summaries to all facilities which emit 100 tons or more of any 1 of the 5 criteria pollutants. File also includes records generated throughout the year listing facilities' emissions to date. Facilities' names and addresses, amounts of yearly emissions, and other related data are entered into Emissions Inventory/Compliance Database (Electronic) File (Item 17385) and routinely updated.

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Air Quality, Planning Section.

**ITEM 17373. INSPECTION AND MAINTENANCE AUTOMOBILE EMISSION ANALYSIS REPORTS FILE.**

Reports listing results of automobile emission analyses for each county. File includes county names, makes and years of automobiles, vehicle identification numbers, carbon monoxide levels, automobiles inspected and failed for each county, and other related data. Amended 11-5-03

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years. Destroy records currently being held in the State Records Center 10 years from date of record.

**ITEM 17385. EMISSIONS INVENTORY DATABASE (ELECTRONIC) FILE.**

Electronic records concerning facilities which emit 100 tons or more of any 1 of the 5 criteria pollutants. Electronic file includes facilities' names and addresses, yearly emissions, and other related data. (File maintenance and backup procedures are conducted by division's Information Technology Services.)

DISPOSITION INSTRUCTIONS: Function and records transferred to the Division of Air Quality, Planning Section.

**ITEM 35221. NORTH CAROLINA ANALYZER SYSTEM (NCAS) SPECIFICATIONS AND CERTIFICATIONS FILE.**

Records in paper and electronic formats concerning the certification of approved emissions analyzers. File includes specifications for instruments, reviews of specifications, and other related records. (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when administrative value ends but within 10 years. Destroy in office paper records after 10 years.

**ITEM 47693. SMOKING VEHICLE LETTERS FILE.**

Correspondence sent to owners of vehicles who have smoking vehicle complaints. File also includes inspection records, meeting notes, and other related records. Data is entered into Smoking Vehicle Letters Database (Electronic) File (Item 47696). Amended 8-24-06

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 47694. INSPECTION AND MAINTENANCE AUTOMOBILE EMISSIONS ANALYSIS DATABASE (ELECTRONIC) FILE.**

Electronic records listing the results of automobile emission analysis for each county. Electronic file includes county names, makes and years of automobiles, vehicle identification numbers (VIN), Department of Transportation, Division of Motor Vehicles automobile inspection records for each county, and other related data. Data is entered into this database by automobile inspections' analyzers throughout the state. (File maintenance and backup procedures are conducted by division's Information Technology Services.) Amended 8-24-06

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 10 years.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
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DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
MOBILE SOURCE COMPLIANCE**

**ITEM 47695. TRANSPORTATION CONFORMITY REVIEW FILE.**

Records in paper and electronic formats concerning air quality standards to insure that any new road and transportation projects will not worsen air quality. File includes correspondence, meeting notes, conformity analysis, reference copies of Department of Transportation's transportation improvement plans (used as part of the review process), publications, maps, and regulations. Amended 8-24-06

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Transfer paper records after 10 years to the State Records Center. Records will be held for agency in the State Records Center 15 additional years and then destroyed.

**ITEM 47696. SMOKING VEHICLE LETTERS DATABASE (ELECTRONIC) FILE.**

Electronic records listing data on vehicle owners that have smoking vehicle complaints. Electronic file includes inspection records, correspondence, meeting notes, and other related data. Data is entered into this database from Smoking Vehicle Letters File (Item 47693). (File maintenance and backup procedures are conducted by division's Information Technology Services.) Amended 8-24-06

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 2 years.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
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DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
STATIONARY SOURCE COMPLIANCE**

**ITEM 3970. AIR QUALITY SOURCE TEST REVIEWS FILE.**

Records concerning results of source tests. File includes reviews, test plan proposals, compliance reports, and other related records. Facility names, permit numbers, emissions test results, and other related data are entered into Air Quality Source Test Reviews Database (Electronic) File (Item 34017) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 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 17370. AIR QUALITY ENFORCEMENT ACTIONS (CLOSED) FILE.**

Records concerning completed enforcement actions taken against facilities which violate air quality regulations. File includes complaints, assessments, transcripts of hearings, findings and decisions, and other related records. File also includes records transferred from the Office of the Secretary, Office of General Counsel, Completed Closed Case of Enforcement Action File (Item 2513). (These records are dated prior to 1991.)

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 transferred to the custody of the Archives.

**ITEM 17382. AIR QUALITY SELF-MONITORING FILE.**

Reports submitted by North Carolina industries in accordance with permit requirements. Reports list compliance with regulations, details of daily operations, amounts and periods of emissions, and other related information.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 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 34015. AIR QUALITY COMPLIANCE DATABASE (ELECTRONIC) FILE.**

Electronic records concerning facilities' compliance with air quality regulations and the Clear Air Act. Electronic file includes facilities' names, results of inspections, compliance statuses, and other related data. Regional offices enter data into this database. (File maintenance and backup procedures are conducted by the division's Information Technology Services.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 7 years and when reference value ends.

**ITEM 34016. AIR QUALITY ENFORCEMENT ACTIONS (OPEN) FILE.**

Records concerning enforcement actions taken against facilities which violate air quality regulations. File includes complaints, notices of violations, assessments, transcripts of hearings, and other related records. Facility names, case numbers, review dates, dates fines are paid, and other related data are entered into Enforcements Database (Electronic) File (Item 34024) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to Air Quality Enforcement Actions (Closed) File (Item 17370) when case is closed.

**ITEM 34017. AIR QUALITY SOURCE TEST REVIEWS DATABASE (ELECTRONIC) FILE.**

Electronic records concerning results of source tests. Electronic file includes facilities' names, permit numbers, emissions test results, and other related data. Data is entered into this database from Air Quality Source Test Reviews File (Item 3970). (File maintenance and backup procedures are conducted by the division's Information Technology Services.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
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DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
STATIONARY SOURCE COMPLIANCE**

**ITEM 34024. ENFORCEMENTS DATABASE (ELECTRONIC) FILE.**

Electronic records concerning facilities' violations of air quality regulations and enforcement of those regulations. Electronic file includes facilities' names, case numbers, review dates, dates fines are paid, county names, dates of notice of violation, violation types, and other related data. Data is entered into this database from Air Quality Enforcement Actions (Open) File (Item 34016). (File maintenance and backup procedures are conducted by the division's Information Technology Services.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

**ITEM 34027. NOTICES OF VIOLATION FILE.**

Notices sent to facilities informing them that a violation has occurred. Company names, county names, region numbers, dates of notice of violation, source numbers, violation types, and other related data are entered into Enforcements Database (Electronic) File (Item 34024) and routinely updated.

DISPOSITION INSTRUCTIONS: Records transferred to the Air Quality Enforcement Actions (Open) File (Item 34016).

**ITEM 34029. SPECIAL ORDERS BY CONSENT (SOC) FILE.**

Records in paper and electronic formats concerning enforceable schedules for facilities to comply with permitted emission levels. File includes Special Orders by Consent (SOC's), requests for SOC's, correspondence, compliance reports, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Transfer paper records to the State Records Center 10 years after order expires. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 45738. CONTINUOUS EMISSIONS MONITOR (CEM) FILE.**

Records concerning emissions monitoring devices installed at facilities. File includes reports, correspondence, certifications, approval documents, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after notification that monitors have been permanently removed from service.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
TOXICS PROTECTION**

**ITEM 34018. AIR TOXICS PROGRAM FILE.**

Records in paper and electronic formats concerning the development of the air toxic program. File includes regulations, listings of toxic chemicals, toxin classifications, and other related records. (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends. Transfer paper records to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 34026. TOXIC INVESTIGATIONS FILE.**

Records in paper and electronic formats concerning investigations of manufacturing firms. File includes complaint letters from regional offices, reports listing findings and recommendations of investigations, results of chemical analyses, reference copies of air quality permits, regulations, studies of air toxics, and other related records. (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 10 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 34028. SCIENTIFIC ADVISORY BOARD FILE.**

Records in paper and electronic formats concerning the Scientific Advisory Board. File includes correspondence, meeting announcements, minutes of meetings of the Board, recommendations by the Board and documentation supporting those recommendations, and other related records. (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when administrative value ends. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of the Archives. Transfer records currently held in the State Records Center to the custody of the Archives 15 years from date received.

**ITEM 46701. RISK MANAGEMENT PLAN FILE.**

Records in paper and electronic formats concerning requests for information regarding facilities within state subject to the North Carolina Chemical Accident Prevention Program. File includes procedures for Offsite Consequence Analysis, reports, maps, and emissions and population data. (File maintenance and backup procedures conducted by LAN administrator.) (Comply with applicable provisions of 40 CFR 68, Title 18 USC 3571 regarding confidentiality of chemical plant site security records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
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DIVISION OF AIR QUALITY  
TECHNICAL SERVICES SECTION  
VAPOR RECOVERY**

**ITEM 46733. STAGE/VAPOR RECOVERY COMPLIANCE DATABASE (ELECTRONIC) FILE.**

Electronic records concerning facilities compliance with Stage/Vapor Recovery regulations. Electronic file includes names of facilities, owner names, results of inspections, compliance status, and other related data. Data is entered into this database from Stage/Vapor Recovery Compliance File (Item 46734). (File maintenance and backup procedures are conducted by division's Information Technology Services.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 5 years and when reference value ends.

**ITEM 46734. STAGE/VAPOR RECOVERY COMPLIANCE FILE.**

Records concerning facilities compliance with Stage/Vapor Recovery regulations. File includes reports listing results of inspections and compliance status, inspection reports, correspondence, and other related records. Names of facilities, owners' names, results of inspections, and compliance status are entered into Stage/Vapor Recovery Compliance Database (Electronic) File (Item 46733) and routinely updated.

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

**ITEM 46735. TANK TRUCK CERTIFICATION COMPLIANCE FILE.**

Records concerning facilities compliance with Tank Truck Certification regulations. File includes correspondence, testing facility certification data, compliance status, inspection reports, and other related records. Names of facilities, tank truck owner names, results of inspections, and compliance status are entered into Tank Truck Certification Compliance Database (Electronic) File (Item 46736) and routinely updated.

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

**ITEM 46736. TANK TRUCK CERTIFICATION COMPLIANCE DATABASE (ELECTRONIC) FILE.**

Electronic records concerning tank truck repair facilities compliance with Tank Truck Certification regulations. Electronic file includes names of facilities, tank truck owners' names, results of inspections, compliance status, and other related data. Data is entered into this database from Tank Truck Certification Compliance File (Item 46735). (File maintenance and backup procedures are conducted by division's Information Technology Services.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office after 5 years and when reference value ends.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
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DIVISION OF ENVIRONMENTAL MANAGEMENT  
AIR QUALITY SECTION  
TECHNICAL SERVICES BRANCH**

**ITEM 17368. VISIBLE EMISSIONS CERTIFICATIONS FILE.**

Records concerning certifications for visible emissions inspectors of the department, other state agencies, and private industries. File includes examination results of previous and most recent tests, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 17372. INSPECTION AND MAINTENANCE DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning the analysis of automobile emissions. County names, makes and years of automobiles, vehicle identification numbers, carbon monoxide levels, numbers of automobiles inspected and failed for each county, 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 17381. AIR QUALITY COMPLIANCE FILE.**

Records concerning facilities' compliance with air quality regulations and the Clean Air Act. File includes correspondence, reports listing results of inspections and compliance statuses, and other related records. Facility names, results of inspections, compliance statuses, and other related data are entered into Air Quality Compliance Database (Electronic) File (Item 34015) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 34021. CONTROL TECHNOLOGIES FILE.**

Records concerning the definition and identification of control technologies used to abate air toxic emissions. File includes research and development papers, engineering reports and specifications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 34022. EMISSIONS FACTORS FILE.**

Records concerning the development of emission rates and emission factors for toxic air pollutants. File includes guidelines for determining calculated emissions factors, published emissions factors from outside sources, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 34023. TOXIC EMISSIONS INVENTORIES FILE.**

Records concerning air pollutant emissions by industries. File includes reference copies of permit applications, outlines of emissions processes, inventories of pollutants emitted by facilities, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 34025. INDUSTRIAL HYGIENE FILE.**

Records concerning industrial hygiene, safety, and health. File includes first aid logs, listings of safety equipment bought and issued, medical surveillance and exposure assessments of section personnel, and other related records. (Comply with applicable provisions of G.S. 8-53 regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer medical surveillance and exposure assessments of section personnel to the State Records Center when employee terminates service. Records will be held for agency in the State Records Center 30 additional years and then destroyed in accordance with 29 CFR 1910.20 and 1926.58. Destroy in office remaining records when reference value ends.