

DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
DIVISION OF WASTE MANAGEMENT
UNDERGROUND STORAGE TANK 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

UNDERGROUND STORAGE TANK 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.

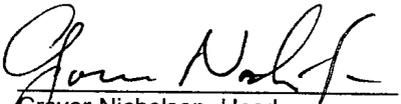
The Department of Environment and Natural Resources and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of Environment and Natural Resources agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

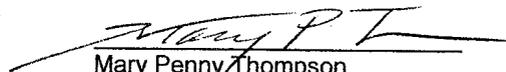
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records 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**

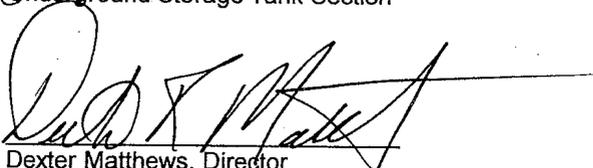
UNDERGROUND STORAGE TANK SECTION

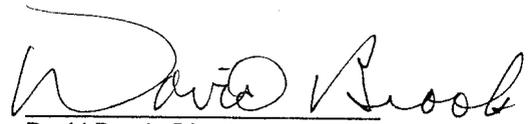
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Grover Nicholson, Head
Underground Storage Tank Section

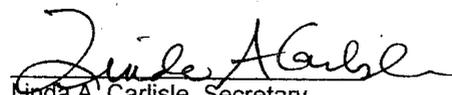

Mary Penny Thompson
Chief Records Officer and General Counsel


Dexter Matthews, Director
Division of Waste Management


David Brook, Director
Division of Historical Resources

APPROVED


Dee Freeman, Secretary
Department of Environment and Natural Resources


Linda A. Carlisle, Secretary
Department of Cultural Resources

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION
DIVISION OF WASTE MANAGEMENT
UNDERGROUND STORAGE TANK SECTION**

ITEM 34048. FEDERAL/STATE LEAD CLEANUP FILE.

Records in paper and electronic formats, including e-mail, that concern assessments and cleanups of releases from leaking petroleum underground storage tanks that are contracted by the State of North Carolina and are funded by grants from the U.S. Environmental Protection Agency (EPA) or by monies from the Commercial and Noncommercial Cleanup Funds. Records include initial abatement reports, site assessment notes and reports, corrective action reports, site maps, water and soil sampling data, laboratory analyses, invoices, general correspondence, and enforcement, alternate water, cost recovery and other miscellaneous documents related to the incidents of release. Data from these records are entered into Federal/State Lead Cleanup Database (Electronic) File (Item 49278) and routinely updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office paper records of uncontested actions two years after an incident is closed by a Notice of No Further Action. Scan in office paper records of contested actions filed with the Office of Administrative Hearings, State or Federal court one year after the conclusion of the case and closure of the action. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Data from these records are entered into Federal/State Lead Cleanup Database (Electronic) File (Item 49278) and routinely updated.

ITEM 34049. LUST INCIDENTS MANAGEMENT FILE.

Records in paper and electronic formats, including e-mail, that concern assessments and cleanups of releases from leaking petroleum underground storage tanks that are accomplished by parties responsible for the releases and are funded by responsible parties whose eligible assessment and cleanup costs may be reimbursed from the Commercial and Noncommercial Cleanup Funds. Records include initial abatement reports, site assessment notes and reports, corrective action reports, site maps, water and soil sampling data, laboratory analyses, invoices, general correspondence, and enforcement, alternate water, cost recovery and other miscellaneous documents related to the incidents of release. Data from these records are entered into LUST Incidents Management Database (RUST) (Electronic) File (Item 34050) and routinely updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office paper records of uncontested cases two years after an incident is closed by a Notice of No Further Action. Scan in office paper records of contested actions filed with the Office of Administrative Hearings, State or Federal court one year after the conclusion of the case and closure of the action. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

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ITEM 34050. LUST INCIDENTS MANAGEMENT (RUST) DATABASE (ELECTRONIC) FILE.

Electronic records that concern assessments and cleanups of releases from leaking petroleum underground storage tanks. These records include incident locations, sources and causes of releases, types of clean up, parties responsible for releases, dates of incidents, other related data, and an index. Data are entered into this database from the LUST Incidents Management File (Item 34049).

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently. Transfer backup copy of magnetic tapes to off-site location each workday.

ITEM 34051. STATE CLEANUP FUNDS REIMBURSEMENT FILE.

Records in paper and electronic formats, including e-mail, concerning reimbursements to petroleum underground storage tank owners, operators and landowners for costs incurred for assessment and cleanup of petroleum contamination. Records may include original invoices, summaries of work performed, reimbursement claims, reimbursement payments, eligibility applications and determinations, and other supporting or pertinent information related to the activities completed by underground storage tank owners, operators, and landowners. Data from these records are entered into State Cleanup Funds Reimbursement Database (Electronic) File (Item 49281) and regularly updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office paper records of uncontested cases two years after an incident is closed by a Notice of No Further Action. Scan in office paper records of contested actions filed with the Office of Administrative Hearings, State or Federal court one year after the conclusion of the case and closure of the action. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

ITEM 34052. UNDERGROUND STORAGE TANK (UST) FILE.

Records in paper and electronic format concerning the registration and permitting of regulated USTs. Records include listings of fees paid, dates of receipts of fees, registration applications, UST owner/operator names and addresses, contents and sizes of USTs, descriptions of USTs, construction details, compliance regulations, installation and removal dates, and other related information. Data from these records are entered into Underground Storage Tank (UST) Database (Electronic) File (Item 34053) and routinely updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office records 3 years after closure of UST systems at UST facilities where the annual operating fee account balance is \$0.00. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

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ITEM 34053. UNDERGROUND STORAGE TANK (UST) DATABASE (ELECTRONIC) FILE.

Electronic records concerning the registration of USTs. Dates of receipt of fees, owners' names, contents and sizes of USTs, construction details, installation or removal dates, and other related data are entered into this electronic file from the Underground Storage Tank (UST) File (Item 34052).

DISPOSITION INSTRUCTIONS: Database is maintained and updated on a regular basis by the U.S. Environment Protection Agency (EPA).

ITEM 37286. LEAKING UNDERGROUND STORAGE TANK PETROLEUM COUNCIL REIMBURSEMENTS FILE.

Records in paper and electronic formats concerning reimbursements for costs associated with meetings. File includes requests for reimbursement, attendance lists, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 1 year 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 47034. REGIONAL UNDERGROUND STORAGE TANK (RUST) DATABASE (ELECTRONIC) FILE.

Electronic records concerning investigations of leakage incidents which may result in groundwater contamination. Electronic file includes site locations, types of clean up, parties responsible for leakage, dates of incidents, and other related data. Electronic file also includes index. Data is entered into this database from Incidents Management File (Item 34049). (File maintenance and backup procedures conducted by LAN administrator.) Amended 11-26-03

DISPOSITION INSTRUCTIONS: Item discontinued.

ITEM 47344. UNDERGROUND STORAGE TANK (UST) ENFORCEMENT ACTION FILE.

Records in paper and electronic formats concerning completed enforcement actions taken against responsible parties that have violated Underground Storage Tank (UST) regulations. Records include responsible party names and addresses, penalty assessments and histories, complaints, judgments, notices of violations, settlement agreements, transcripts of hearings, penalty payments, and other related data, which are routinely entered into the Underground Storage Tank (UST) Enforcement Database (Electronic) File (Item 47345).

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. After enforcement actions are closed, scan in office paper records. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

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**ITEM 47345. UNDERGROUND STORAGE TANK (UST) ENFORCEMENT DATABASE
(ELECTRONIC) FILE.**

Electronic records concerning enforcement actions taken against responsible parties that have violated Underground Storage Tank (UST) regulations. Records include names and addresses of responsible parties, dates of penalty assessments, violations being enforced, appeal dates, decision dates, payment dates, and status of cases. Electronic file also includes index. Data are entered into this database from Underground Storage Tank (UST) Enforcement Action File (Item 47344).

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently. Transfer backup copy of magnetic tapes to off-site location each workday.

ITEM 49278. FEDERAL/STATE LEAD CLEANUP DATABASE (ELECTRONIC) FILE.

Electronic records that concern assessments and cleanups of releases from leaking petroleum underground storage tanks that are contracted by the State of North Carolina and are funded by grants from the U.S. Environmental Protection Agency (EPA) or by monies from the Commercial and Non-Commercial Cleanup Funds. Records include sources of incidents, locations and types of incidents, owners/operators and landowners' names, incident dates, descriptions of incidents, actions taken, funds expended and recovered, and other related data. Data are entered into this database from the Federal/State Lead Cleanup File (Item 34048).

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently. Transfer backup copy of magnetic tapes to off-site location each workday.

ITEM 49279. NON-LUST INCIDENTS MANAGEMENT FILE.

Records in paper and electronic formats, including e-mail, that concern assessments and cleanups of releases of petroleum from sources other than underground storage tanks that are accomplished and funded by parties responsible for the releases or by the State of North Carolina. Records include initial abatement reports, site assessment notes and reports, corrective action reports, site maps, water and soil sampling data, laboratory analyses, invoices, general correspondence, and enforcement, alternate water, cost recovery and other miscellaneous documents related to the incidents of release. Data from these records are entered into Non-LUST Incidents Management (RAST) Database (Electronic) File (Item 49280) and routinely updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office paper records of uncontested cases two years after an incident is closed by a Notice of No Further Action. Scan in office paper records of contested action filed with the Office of Administrative Hearings, State or Federal court, one year after the conclusion of the case and closure of the action. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

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ITEM 49280. NON-LUST INCIDENTS MANAGEMENT (RAST) DATABASE (ELECTRONIC) FILE.

Electronic records that concern assessments and cleanups of petroleum releases from sources other than leaking petroleum underground storage tanks. Sources of incidents, locations and types of incidents, owners' names, incident dates, descriptions of incidents, and other related data are entered into this electronic file. Electronic file also includes index. Data are entered into this database from Non-LUST Incidents Management File (Item 49279).

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently. Transfer backup copy of magnetic tapes to off-site location each workday.

ITEM 49281. STATE CLEANUP FUNDS REIMBURSEMENT DATABASE (ELECTRONIC) FILE.

Electronic records concerning reimbursements to petroleum underground storage tank owners, operators and landowners for costs incurred for assessment and cleanup of contamination. Records include owners/operators and landowners' names and addresses, funds requested by specific tasks, funds expended, electronic copies of audit letters/budget code sheets and other related data. Data are entered into this database from State Cleanup Funds Reimbursement File (Item 34051).

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office records 3 years after closure of UST systems at UST facilities where the annual operating fee account balance is \$0.00. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

ITEM 49282. STATE CLEANUP FUNDS PRE-APPROVAL FILE.

Records in paper and electronic formats, including e-mail, concerning Task Authorization Pre-Approval requests from petroleum underground storage tank owners, operators and landowners and their environmental service providers for proposed activities and corresponding costs for assessment and cleanup of contamination. Records may include proposed action plans/costs by task code, Requests for Proposal (RFP) and bids, and other supporting documentation. Data from these records are entered into State Cleanup Funds Pre-Approval Database (Electronic) File (Item 49283) and regularly updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office paper records of uncontested cases two years after an incident is closed by a Notice of No Further Action. Scan in office paper records of contested actions filed with the Office of Administrative Hearings, State or Federal court, one year after the conclusion of the case and closure of the action. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

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DIVISION OF WASTE MANAGEMENT
UNDERGROUND STORAGE TANK SECTION**

ITEM 49283. STATE CLEANUP FUNDS PRE-APPROVAL DATABASE (ELECTRONIC) FILE.

Electronic records concerning Task Authorization Pre-Approval requests from petroleum underground storage tank owners, operators and landowners and their environmental service providers for proposed activities and corresponding costs for assessment and cleanup of contamination. Fields include owners/operators and landowners names and addresses, funds requested by specific tasks, funds expended, electronic copies of audit letters/budget codes sheets, and other related data. Electronic file also includes index. Data are entered into this database from State Cleanup Funds Pre-Approval File (Item 49282).

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently. Transfer backup copy of magnetic tapes to off-site location each workday.

ITEM 49284. STATE TRUST FUNDS ELIGIBILITY FILE.

Records in paper and electronic formats, including e-mail, concerning eligibility determinations for petroleum underground storage tank owners, operators and landowners for access to the Leaking Petroleum Underground Storage Tank Cleanup Funds that are not otherwise contained within State Cleanup Funds Reimbursement File (Item 34051). Records may include the eligibility application and other supporting documentation such as Underground Storage Tank (UST) out-of-use date documentation, site maps, documentation of UST upgrades and tank operating fee payment information. Data from these records are entered into State Cleanup Funds Eligibility Database (Electronic) File (Item 49285) and regularly updated.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule which requires that e-mail shall be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile e-mail records with related paper records. Destroy in office electronic versions of e-mail records once they have been printed and interfiled. Scan in office paper records of uncontested cases two years after an incident is closed by a Notice of No Further Action. Scan in office paper records of contested actions filed with the Office of Administrative Hearings, State or Federal court, one year after the conclusion of the case and closure of the action. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer backup copy of electronic records to an off-site location and update backup copy routinely. Electronic images of scanned records will be transferred to the State Records Center for conversion into microfilm. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault.

ITEM 49285. STATE CLEANUP FUNDS ELIGIBILITY DATABASE (ELECTRONIC) FILE.

Electronic records concerning eligibility determinations for petroleum underground storage tank owners, operators and landowners for access to the Leaking Petroleum Underground Storage Tank Cleanup Funds that are not otherwise contained within State Cleanup Funds Reimbursement File (Item 34051). Records include owners/operators and landowners names and addresses, process tracking information, deductible assessment and other related data. Electronic file also includes an index. Data are entered into this database from State Cleanup Funds Eligibility File (Item 49284).

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently. Transfer copy of magnetic tapes to off-site location each workday.