

DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES

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

**CENTRAL FILES**

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.

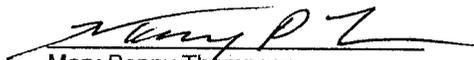
The Department of Environment and Natural Resources and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records 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**

**CENTRAL FILES**

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.

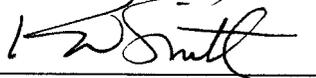
**APPROVAL RECOMMENDED**



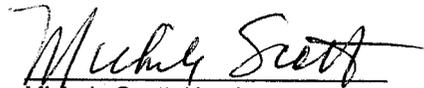
Mary Penny Thompson,  
Chief Records Officer and General Counsel



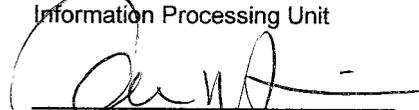
David A. Goodrich  
Assistant Director for Business Operations



Robin Smith,  
Assistant Secretary for Environmental Protection



Michele Scott, Head  
Information Processing Unit



Coleen H. Sullins, Director  
Division of Water Quality



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 WATER QUALITY  
CENTRAL FILES**

**ITEM 2602. DIVISION OF WATER QUALITY CORRESPONDENCE FILE.**

Correspondence in paper and electronic formats to and from Division of Water Quality concerning the creation and disposition of permits generated within the division and other related subjects. File includes correspondence, reports, memoranda, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer to State Records Center after 1 year. Records will be held for agency in the State Records Center 10 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: Item discontinued. Destroy records currently held in the State Records Center 25 years from date of record.

**ITEM 45838. COLLECTION SYSTEM PERMITS (WQCS) FILE.**

Records in paper and electronic formats, including e-mail, concerning sewer collection system operation and maintenance permits for systems having design flow or conveying over 200,000 gallons per day of wastewater.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer to the State Records Center after 5 years. Records will be held for agency 5 additional years and then destroyed.

**ITEM 2605. NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES) DISCHARGE MONITORING REPORTS (REFERENCE) FILE.**

Reference copies of completed monitoring reports submitted by facilities which discharge pollutants into surface waters.

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

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES**

**ITEM 17350. CONFIDENTIAL INFORMATION FILE.**

Records in paper and electronic formats concerning permit holders that have been deemed "trade secrets" as determined by the Director of the Division of Water Quality. (Comply with applicable provisions of G.S. 132-1.2 (1) (a-d) regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer to State Records Center after 1 year. Records will be held for agency in the State Records Center 25 additional years and then destroyed.

**ITEM 33843. COMPLIANCE DATABASE (ELECTRONIC) FILE.**

Electronic 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: Item discontinued. All records destroyed.

**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: Item discontinued. Superseded by *General Schedule for State Agency Records*.

**ITEM 33830. COMPLIANCE DATABASE (ELECTRONIC) FILE.**

Electronic 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.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**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: Item discontinued. All records destroyed.

**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: Item discontinued. All records destroyed.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES**

**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: Item discontinued. All records destroyed.

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

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

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**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: Item discontinued. All records destroyed.

**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: Item discontinued. All records destroyed.

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

Electronic 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: Item discontinued. All records destroyed.

**ITEM 33842. WATER QUALITY DATABASE (ELECTRONIC) FILE.**

Electronic 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: Item discontinued. All records destroyed.

**ITEM 17326. REVENUE BOND CERTIFICATES FILE.**

Reference copies of certificates issued by the secretary of the Department of Environment, Health, and Natural Resources stating that facilities have the necessary environmental permits. File also includes memorandums supporting the certifications.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 2652. CERTIFICATE OF APPROVAL BLUEPRINTS FILE.**

Blueprints for industrial wastewater treatment facilities which do not discharge waste into the surface waters and do not need any other permits. File also includes microfilm of blueprints.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES**

**ITEM 2653. CERTIFICATE OF APPROVAL SPECIFICATIONS FILE.**

Approved specifications for industrial wastewater treatment facilities which do not discharge waste into the surface waters and do not need any other permits.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 17509. INDIVIDUAL WASTEWATER PERMITS (NCOO) FILE.**

National Pollutant Discharge Elimination System (NPDES) permits issued to facilities which discharge industrial waste or other wastewater treatment products. File also includes applications, correspondence, water and facility classifications, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Scan paper records in office. Retain electronic records in office permanently. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 17510. NON-DISCHARGE PERMITS (WQ) FILE.**

Permits issued to land-based wastewater treatment facilities which do not discharge into surface waters. File also includes certificates of approval, applications, correspondence, water and facility classifications, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Scan paper records in office. Retain electronic records in office permanently. Transfer paper records to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 33916. PERMIT WRITING SYSTEM (ELECTRONIC) FILE.**

Electronic records concerning the issuance of National Pollutant Discharge Elimination System (NPDES) permits. Permit numbers, facility names, discharge limits, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 33917. GENERAL STORMWATER PERMITS FILE.**

Records in paper and electronic formats, including e-mail, concerning statewide permits issued to facilities which discharge stormwater into waters of the state. File includes applications, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer to State Records Center after 1 year. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES**

**ITEM 49464. INDIVIDUAL STORMWATER PERMITS (NCS) FILE.**

Records in paper and electronic formats, including e-mail, concerning site-specific (individual) permits issued to facilities which discharge stormwater into the waters of the state. File includes applications, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer to State Records Center after 1 year. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of the Archives.

**ITEM 17594. OIL AND HAZARDOUS WASTE MATERIALS SPILLS INVESTIGATION FILE.**

Records in paper and electronic formats, including e-mail, concerning investigations of oil and hazardous materials spills, identification of types of materials spilled, parties responsible, damage reports, and other related information. Files include briefs, correspondence, investigative reports, laboratory results, and other related materials. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Print electronic records, including e-mail, and interfile with related paper records. Retention of the electronic version of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer to State Records Center after 1 year. Records will be held for agency in the State Records Center 10 additional years and then transferred to the custody of the Archives.

**ITEM 33922. FISH KILLS INVESTIGATION REPORTS FILE.**

Investigation reports listing locations of fish kills, hazardous materials causing fish kills, results of investigations, and other related information. File also includes Wildlife Resources Commission reports.

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Water Quality, Environmental Sciences Section.

**ITEM 33923. JUDICIAL ORDERS BY CONSENT (JOC) FILE.**

Records concerning court-sanctioned, enforceable schedules for facilities to comply with permitted discharge levels. File includes JOC's, correspondence, town council resolutions, compliance reports, and other related records. Request dates, issuance dates, penalty assessments, and other related data are entered into Judicial Orders by Consent (JOC) Tracking System Database (Electronic) File (Item 33924) and routinely updated.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 33924. JUDICIAL ORDERS BY CONSENT (JOC) TRACKING SYSTEM DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning court-sanctioned, enforceable schedules for facilities to comply with permitted discharge levels. Request dates, issuance dates, penalty assessments, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES**

**ITEM 33926. SPECIAL ORDERS BY CONSENT (SOC) RECEIPTS FILE.**

Receipts for payments of SOC application fees.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 33927. SPECIAL ORDERS BY CONSENT (SOC) TRACKING SYSTEM DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning enforceable schedules for facilities to comply with permitted discharge levels. Request dates, issuance dates, penalty assessments, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 33928. WASTEWATER TREATMENT PLANT OPERATORS DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning the certification of operators of wastewater treatment plants. Operators' names and status, classifications of facilities, test results, and other related data are entered into this electronic file. (Electronic database systems are maintained by State Information Processing Services.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 33932. .5% SALES TAX DATABASE (ELECTRONIC) FILE.**

Machine readable records concerning municipalities which use .5% of sales taxes to improve wastewater and water treatment facilities. Denial or approval dates, status of municipalities, and other related data are entered into this electronic file.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 33933. .5% SALES TAX FILE.**

Records concerning municipalities which use .5% of sales taxes to improve wastewater and water treatment facilities. File includes letters of request from municipalities, financial reports, approval or denial letters, and other related records. Denial or approval dates, status of municipalities, and other related data are entered into .5% Sales Tax Database (Electronic) File (Item 33932) and routinely updated.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**ITEM 2643. PUMP INSTALLER REGISTRATION FILE.**

Records concerning the registration of pump installers in North Carolina. File includes applications, correspondence, and other related records. Pump installers' names, addresses, and telephone numbers; application dates; and other related data are entered into Permits and Compliance Unit PARADOX Database (Electronic) File (Item 34045) and routinely updated. (Agency personnel will prepare and arrange records and make and insert targets for microfilming prior to boxing records for transfer to the State Records Center.) Amended 8-12-03

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Water Quality, Aquifer Protection Section.

**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES  
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION  
DIVISION OF WATER QUALITY  
CENTRAL FILES**

**ITEM 34045. PERMITS AND COMPLIANCE UNIT PARADOX DATABASE (ELECTRONIC) FILE.**

Electronic records concerning programs of the agency. Electronic file includes well driller and pump installer registrations, well construction details, well construction permittees' names, ambient monitoring site descriptions, waste disposal review dates, enforcement action information, and other related data.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.