



LIBRARY OF VIRGINIA

Government Records Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE SPECIFIC SCHEDULE NO. 440-002 Environmental Quality, Dept. of Water, Division of Construction Assistance Program

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition policies listed below:

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY Edwards Alvie
AGENCY RECORDS OFFICER xqp92569 9/15/2023

Digitally signed by: Edwards Alvie xqp92569
DN: CN = Edwards Alvie xqp92569 OU = COV,
/User, Email=, DEQ
Date: 2023.09.15 13:36:43 -0400

STATE APPROVAL

STATE ARCHIVIST Greg E. Goff
COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: 9/14/2023

POLICIES FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, § 42.1-76, et seq. of the Code of Virginia for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the Certificate of Records Destruction (RM-3 Form). A completed RM-3 Form must be approved by an agency-designated records officer before records can be destroyed.
4. Any records created prior to 1912 must be offered, in writing, to the Library of Virginia (LVA) before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA.
5. All known audits, requests for records pursuant to the Virginia Freedom of Information Act, § 2.2-3700, et seq., and retention schedule renegotiations regarding the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations, or litigation that reasonably may involve the listed records suspends any disposal and/or operational reformatting processes until all issues are resolved.
6. The retentions and dispositions listed on the attached page(s) apply regardless of format, e.g., paper, microfilm, electronic image, etc. Unless prohibited by law, records may be reformatted at the agency's discretion. Microfilming must be done in accordance with 17VAC15-20-10, et seq. of

- the Virginia Administrative Code, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency to do so.
7. Records custodians must ensure that confidential or privacy-protected information contained in records and non-records is ultimately destroyed to prevent unauthorized disclosure. Confidential destruction of paper is accomplished only through shredding, pulping, or burning. For electronic information, it is accomplished by overwriting the data or physically destroying the media. Merely deleting confidential or privacy-protected information is not sufficient. Documents containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
8. Under the Virginia Public Records Act, § 42.1-79, the Library of Virginia is the official custodian and trustee of all state-agency records transferred to the State Archives, which may purge select records in accordance with professional archival practices in order to ensure efficient preservation and access.
9. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year, as appropriate. Retention periods start at that time. Other event-based filing cutoffs (e.g., "after last action") must be defined and consistently applied by the agency.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Clean Water Financing and Assistance Program (CWFAP) - Funded Grants</u> This series documents the administration of CWFAP grants from the grant application process through the completion of the project and final disbursement of grant funds for projects receiving bond proceeds. This series may include, but not limited to grant applications, correspondence, meeting summaries, environmental reviews, planning, design, and bidding documents, interim evaluations, and disbursements.	200770	25 Years after final payment	Confidential Destruction
<u>Clean Water Financing and Assistance Program (CWFAP) - Program Files</u> This series documents program information and historical reports that must be retained for the lifetime of the program. This series may include, but is not limited to annual reports to the Environmental Protection Agency (EPA), program guidelines, implementation plans, State Water Control Board (SWCB) meeting minutes, annual reports, authorization memos, intended use plans, project priority lists, capitalization grants, solicitation memos, Virginia Resource Authority documents, and other programmatic files for future programs delegated to DEQ CWFAP	200772		Permanent, In Agency
<u>Clean Water Financing and Assistance Program (CWFAP) - Unfunded Grant</u> This series documents the CWFAP grant proposals or applications that did not receive funding. This series may include, but is not limited to the letter of intent, application, budget, and notification of denial. 2 CFR 200.334	200771	1 Year after decision	Confidential Destruction



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>State Revolving Loan Fund (RLF) - Funded Projects not Receiving Bond Proceeds</u> This series documents loan and project information from the loan application process through the completion of the project and final disbursement of loan funds for projects which are not receiving bond proceeds. This series may include, but is not limited to: loan applications, correspondence, meeting summaries, environmental reviews, planning, design, and bidding documents, interim evaluations, and disbursements. 2 CFR 200.334	100162	3 Years after final payment	Non-confidential Destruction
<u>State Revolving Loan Fund (RLF) - Unfunded Projects</u> This series documents documents applications for funding which are either not eligible or are withdrawn. This series may include, but not limited to loan applications, correspondence, meeting summaries, and environmental reviews.	200769	3 Years after event	Confidential Destruction
<u>State Revolving Loan Fund (RLF) Disbursements - Funded Projects Receiving Bond Proceeds</u> This series documents loan and project information from the loan application process through the completion of the project and final disbursement of loan funds for projects which are receiving bond proceeds. This series may include, but is not limited to loan applications, correspondence, meeting summaries, environmental review planning, design, and bidding documents, interim evaluations, and disbursements. 26 CFR Ch. 1 Sec 1.148-5	200773	25 Years after final payment	Non-confidential Destruction
<u>Water Quality Improvement Fund (WQIF) - Funded Projects</u> This series documents the administration of WQIF grants from the grant application process through the completion of the project and final disbursement of grant funds. Files may contain grant applications, correspondence, meeting summaries, environmental reviews, planning, design, and bidding documents, interim evaluations, disbursements, and monetary assessments.	200774	25 Years after final payment	Non-confidential Destruction



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<u>Water Quality Improvement Fund: Monetary Assessments for Funded Projects</u>	200753	20 Years after final payment	Confidential Destruction
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This series documents monetary assessments of grant projects. This series may include, but is not limited to: applications, executed grant agreements, annual Exhibit E reports, and monetary assessment correspondence. COV § 10.1-2129; COV § 10.1-2130
