



LIBRARY OF VIRGINIA

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

RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 440-005
Environmental Quality, Dept. of
Water, Division of

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

AGENCY APPROVAL

Edwards Alvie
xqp92569
Digitally signed by: Edwards Alvie
xqp92569
DN: cn = Edwards Alvie xqp92569 OU =
GOV-Users, End-Users, DEQ
Date: 2024.03.28 13:49:30 -04'00'

AGENCY HEAD OR DEPUTY _____
AGENCY RECORDS OFFICER *Jac Houston*

STATE APPROVAL

STATE ARCHIVIST *Gregory E. L...*
COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: 3/28/2024

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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<u>Engineering Reports: Miscellaneous</u>	008682	10 Years after end of calendar year	Non-confidential Destruction
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This series documents engineering reports not included in other series. This series may include, but is not limited to: Infiltration and Inflow (I&I) studies, planning documents, and system analyses.

<u>Industrial Pretreatment Permit Program - Locality Submittals & Approvals</u>	009540	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
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This series documents the application process for municipal publicly-owned treatment works (POTW) point source discharge facilities and their Virginia Pollutant Discharge Elimination System (VPDES) permits, which carry the pretreatment program requirements. This series may include, but is not limited to: program approval submittals comprised of legal authority, program procedures, funding, local limits evaluations, enforcement response plan, and list of significant industrial users; program approval letters; jurisdiction program administrative procedures; and inter-jurisdictional agreements.

<u>Industrial Pretreatment Permit Program - Records & Reports</u>	009541	12 Years after expiration	Non-confidential Destruction
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This series documents reports submitted to the agency pertaining to the commonwealth's municipal publicly-owned treatment works (POTW) point source discharge facilities and their VPDES permits, which carry the pretreatment program requirements. This series may include, but is not limited to: locality-developed fact sheets, permits, and transmittal letters; meeting memoranda; tax exemption requests and certification letters, industrial user discharge monitoring reports (DMRs); operator bench and lab sheets; annual audit, and quarterly program status reports; categorical industrial user and significant industrial user inspections; pollution complaints; pollution response (PReP) inspection reports; warning letters; correspondence; notices of violations (NOVs); and enforcement actions.



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<u>Industrial Pretreatment Permit Program Guidance</u> This series documents current guidance for the Industrial Pretreatment Permit Program oversight procedures. This series may include, but is not limited to: the Pretreatment Permit Manual and program guidance/advice memoranda.	009539	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Local Review Program Agreements</u> This series documents agreement between DEQ and a locality regarding the delegation of review approval for connections to, or extensions off, existing sewerage system projects. This series may include, but is not limited to: signed agreements.	008681	0 Years after expiration	Non-confidential Destruction
<u>New Waste Water Technologies - Reviews</u> This series documents the review process of new wastewater technologies. This series may include, but is not limited to: provisional approvals, performance data reviews, shop drawings, performance testing, financial assurance, and correspondence.	008684	0 Years after event	Non-confidential Destruction
<u>Nutrient Banking: History</u> This series documents the operational history of nutrient credit-generating activity areas, including site requirements, enforcement activity, and case decisions. This series may include, but is not limited to, registered deed restrictions, nutrient bank credit approvals and releases, and completed applications.	200814		Permanent, In Agency
<u>Nutrient Banking: Operations</u> This series documents the calculating, granting, and releasing for sale of nutrient bank credits, which involves the evaluation of plans for and impacts on land conversion and other nutrient banking credit-generating activities. This series may include, but is not limited to, application components, correspondence, monitoring and inspection reports, and registries.	200815	10 Years after receipt	Non-confidential Destruction



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<u>Operation and Maintenance Manuals - Sewerage Systems and Treatment Works</u> This series documents the prescribed operation of sewerage systems and treatment works. This series may include, but is not limited to: operating manuals.	008685	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Preliminary Engineering Report (PER) Approval Package</u> This series documents the approval of a Preliminary Engineering Report (PER). This series may include, but is not limited to: approved reports, correspondence, and approval letters.	008686	5 Years after event	Non-confidential Destruction
<u>Sewage Collection and Treatment Regulations - CTC - Approval Letter/Certificate</u> This series documents the approval for construction of a sewage treatment works or sewerage collection system. This series may include, but is not limited to: approval letters, certificates, and local review program approved project lists. COV 62.1-44.19; 9VAC 25-790	008689		Permanent, In Agency
<u>Sewage Collection and Treatment Regulations - CTO - Approval Letter/Certificate</u> This series documents the approval for operation of a sewage treatment works or sewerage collection system. This series may include, but is not limited to: approval letters and certificates. COV 62.1-44.19; 9VAC 25-790	008692		Permanent, In Agency
<u>Sewage Collection and Treatment Regulations: CTC - Approved Engineering Plans</u> This series documents construction of a sewage treatment works or sewerage collection system. This series may include, but is not limited to: approved engineering plans. COV 62.1-44.19; 9VAC 25-790	008690	0 Years after no longer administratively useful	Non-confidential Destruction



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<u>Sewage Collection and Treatment Regulations: CTC - Other documentation</u> This series documents the design calculations for the construction of sewage collection systems. This series may include, but is not limited to: design calculations, related correspondence, reference material, engineering reports, and agency review notes. COV 62.1-44.19; 9VAC 25-790	008691	0 Years after no longer administratively useful	Non-confidential Destruction
<u>Sewage Collection and Treatment Regulations: Facility Closure Plans - Approval Letter/Certificate</u> The series documents the closure of sewage treatment facilities and the verification thereof. This series may include, but is not limited to: approval letters and certificates, approved engineering plans, design calculations, engineering reports, and agency review notes.	008694	0 Years after no longer administratively useful	Non-confidential Destruction
<u>Sewage Collection and Treatment Regulations: Gravity Sewer Projects - Supporting Approval Package</u> This series documents the granting of waivers from requirements to secure design, construction, and operation approvals for sewerage and treatment works. This series may include, but is not limited to: design calculations and review notes.	008679	0 Years after no longer administratively useful	Non-confidential Destruction
<u>Sewage Collection and Treatment Regulations: Non-Construction Projects</u> This series documents sewage collection and treatment regulations. This series may include, but is not limited to: approval letter and/or certificate, engineering plans and specifications, design calculations.	008697	0 Years after no longer administratively useful	Non-confidential Destruction
<u>Sewage Collection and Treatment Regulations: Related Project Technical Specifications</u> This series documents sewage collection and treatment regulations. This series may include, but is not limited to: technical specifications in the construction of a sewage collection and treatment facility/project.	008687	0 Years after no longer administratively useful	Non-confidential Destruction

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<u>Sewer System Maps</u> This series documents the sewer system for a particular sewage collection and treatment facility/project. This series may include, but is not limited to: maps.	008688	0 Years after no longer administratively useful	Non-confidential Destruction
<u>Standard Specifications</u> This series documents standard construction specifications submitted by utilities or local governments. This series may include, but is not limited to: approved standard specifications, approval letter, and associated documentation.	008680	0 Years after no longer administratively useful	Non-confidential Destruction
<u>Virginia Pollutant Discharge Elimination System - Individual & General Permits - Manuals & Plans</u> This series documents the agency's delegated responsibilities pertaining to the commonwealth's municipal and industrial point source discharge facilities. This series may include, but is not limited to: operations and maintenance manuals, ground water monitoring plans, ground water remediation plans, storm water pollution prevention plans, and best management practices plans. PL 92-500	009542	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Virginia Pollutant Discharge Elimination System - Individual & General Permits - Records/Reports - Confidential</u> This series documents the confidential portion of materials taken into account in the review of an application for a Virginia Pollutant Discharge Elimination System (VPDES) permit for municipal and industrial point source discharge facilities. This series may include, but is not limited to: financial statements, financial sureties, and proprietary information concerning technologies. PL 92-500	009544	12 Years after creation	Confidential Destruction



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<u>Virginia Pollutant Discharge Elimination System (VPDES) - Individual & General Permits - Program Guidance</u> This series documents current guidance for applicants for Virginia Pollutant Discharge Elimination System (VPDES) permit processing, monitoring, and compliance activities. This series may include, but is not limited to: VPDES permit manual, compliance inspection manual, procedures, templates, and program guidance/advice memorandum.	009543	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Virginia Pollutant Discharge Elimination System: - Individual and General Permits - Records/Reports - Non-confidential</u> This series documents the agency's responsibilities delegated from the federal Environmental Protection Agency pertaining to the commonwealth's municipal, industrial point source discharge facilities. This series may include, but is not limited to: site visit reports, field notes/logs, correspondence, meeting memoranda, TMP data/reports, ground water data/reports, tax exemption requests and certification letters, plans and specifications, conceptual engineering reports, discharge monitoring reports (DMRs), lab sheets, operator bench sheets, inspection reports (technical, lab and sampling) with supporting documentation, DMR Quality Assurance Study results, Virginia Pollutant Discharge Elimination System (VPDES) audit memoranda, pollution complaints, pollution response (PREP) inspection reports, warning letters, notices of violations (NOVs), and enforcement actions. PL 92-500; 62.1 44	006002	12 Years after creation	Non-confidential Destruction



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<u>Virginia Pollutant Discharge Elimination System: Individual and General Permits - Permanent</u> This series documents the case decision process for Virginia Pollutant Discharge Elimination System (VPDES) permits by municipal and industrial point source discharge facilities. This series may include, but is not limited to: individual permit applications and supplemental information (maps and plan sheets), general permit registration statements and supplemental information (maps and plan sheets), permits and transmittal letters, fact sheets, transmittal letters, no-exposure certifications, facility closure plans, and associated approval letters. PL 92-500; 62.1 44	006001		Permanent, In Agency
<u>Virginia Pollution Abatement (VPA) Individual and General Permits - Manuals and Plans</u> This series documents the operational guidance of the commonwealth's industrial, confined animal feeding, poultry, and biosolids non-point source facilities in support of a Virginia Pollution Abatement (VPA) permit application. This series may include but is not limited to: operations and maintenance manuals, ground water monitoring plans, ground water remediation plans, and best management practices plans.	009545	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Virginia Pollution Abatement (VPA) Individual and General Permits - Permanent</u> This series documents the agency's issuance of permits for the commonwealth's industrial, confined animal feeding, poultry, and biosolids non-point source facilities. This series may include but is not limited to: individual permit applications and supplemental information (maps and plan sheets), general permit registration statements and supplemental information (maps and plan sheets), permits and transmittal letters, fact sheets, facility closure plans, and associated approval letters. 62.1 44	009546		Permanent, In Agency



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<u>Virginia Pollution Abatement (VPA) Individual and General Permits - Program Guidance</u> This series documents current guidance for Virginia Pollution Abatement (VPA) permit processing, monitoring, and compliance activities. This series may include, but is not limited to: VPA Permit Manual, Compliance Inspection Manual, procedures, templates, and program guidance/advice memoranda.	009547	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Virginia Pollution Abatement (VPA) Individual and General Permits - Records & Reports - Confidential</u> This series documents the confidential portion of the materials taken into account in the review of Virginia Pollution Abatement (VPA) permit applications for the commonwealth's industrial, confined animal feeding, and poultry non-point source facilities. This series may include, but is not limited to: financial statements, financial sureties, and proprietary information concerning technologies.	009548	22 Years after creation	Confidential Destruction
<u>Virginia Pollution Abatement (VPA) Individual and General Permits - Records & Reports - Non-confidential</u> This series documents the non-confidential portion of the materials taken into account in the review of Virginia Pollution Abatement (VPA) permit applications for the commonwealth's industrial confined animal feeding, poultry, and biosolids non-point source facilities. This series may include, but is not limited to: site visit reports, field notes/logs, correspondence, meeting memoranda, ground water data/reports, tax exemption requests and certification letters, plans and specifications, conceptual engineering reports, monitoring reports, lab sheets, operator bench sheets, inspection reports (technical, lab, and sampling) with supporting documentation, VPA audit memoranda, pollution complaints, pollution response (PReP) inspection reports, warning letters, notices of violations (NOVs), and enforcement actions.	009549	22 Years after expiration	Non-confidential Destruction



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<u>Virginia Water Protection (VWP) Individual and General Permit Final Spatial Records</u> This series documents the spatial location, geographical extent, and type (e.g. Cowardin classification) of final authorized impacts and permittee-responsible mitigation projects in Virginia surface waters, including wetlands. This series may include, but is not limited to: final authorized impact maps; final maps of permittee-responsible mitigation area; final mitigation area as-built surveys; protective instruments, easements, and restrictions, and GIS shape files. 62.1 44	000496		Permanent, In Agency
<u>Virginia Water Protection (VWP) Individual and General Permits</u> This series documents the agency's management of Virginia Water Protection (VWP) permits, from application to termination or expiration. This series may include but is not limited to: joint permit applications, including Federal Energy Regulatory Commission (FERC) applications, and supplemental information such as maps and plan sheets; fact sheets; permits; transmittal, preconstruction, final construction, project completion, and warning letters; preconstruction, construction monitoring, and pollution complaints and inspection reports; wetland and/or stream mitigation plans and reports; ground water data/reports; correspondence; NOVs; and enforcement actions.	009550	5 Years after expiration	Non-confidential Destruction



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<u>Virginia Water Protection (VWP) Individual Water Withdrawal Permits</u> This series documents the agency's protection of water quantity within surface waters. This series may include, but is not limited to: joint permit applications, including Federal Energy Regulatory Commission (FERC) applications, and supplemental information such as maps and plan sheets; fact sheets; permits; transmittal, preconstruction, final construction, project completion, and warning letters; preconstruction, construction monitoring, and pollution complaints and inspection reports; wetland and/or stream mitigation plans and reports; ground water data/reports; correspondence; warning letters; and notices of violation (NOVs).	200158	32 Years after issuance	Non-confidential Destruction
<u>Virginia Water Protection (VWP) No Permit Required</u> This series documents the agency's decision, after receiving an application, that a Virginia Water Protection (VWP) permit is not required. This series may include but is not limited to: joint permit applications, additional related submittals, and correspondence.	009551	1 Year after event	Non-confidential Destruction
<u>Virginia Water Protection (VWP) Non-Permitted Sites: Compliance</u> This series documents the complaints, inspections, and investigations of potential violations of State Water Control Law and VWP Program Regulations on sites without VWP permit coverage. This series may include, but is not limited to: reports, reviews, correspondence, and case history.	200639	5 Years after closed	Non-confidential Destruction
<u>Virginia Water Protection (VWP) Non-Permitted Sites: Pre-Application</u> This series documents site visits and exclusion /jurisdictional determinations for projects that are proposed to the Department prior to the submittal of an application for a VWP permit. This series may include, but is not limited to: reports, determinations, correspondence, and case history.	200640	5 Years after closed	Non-confidential Destruction



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<u>Virginia Water Protection (VWP) Permit Program - Guidance Records</u> This series documents current guidance for the Virginia Water Protection (VWP) permit processing procedures and regulations. This series may include, but is not limited to: the VWP Permit Manual and program guidance/advice memoranda.	009552	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Virginia Water Protection (VWP) Wetlands and Streams Mitigation Banks - Confidential</u> This series documents the confidential portion of the application for and the approval, establishment, and monitoring of mitigation banks, including technologies used during construction or monitoring, that is are taken into account when reviewing a proposed mitigation bank. This series may include, but is not limited to: financial statements and sureties, forms, and correspondence.	009553	0 Years after superseded, obsolete, or rescinded	Confidential Destruction
<u>Virginia Water Protection (VWP) Wetlands and Streams Mitigation Banks - Non-Confidential</u> This series documents the non-confidential portion of the application for and the approval, establishment, and monitoring of mitigation banks. This series may include, but is not limited to: agreements, applications, reports, and correspondence.	009554		Permanent, In Agency
<u>Water Supply Planning</u> This series documents the division's water-supply planning program, which includes submissions from the public, localities, and/or planning regions; compliance review, cumulative impact analysis outreach, five-year updates, local and regional water supply plans, and annual water resources and withdrawal. This series may include, but is not limited to: reports and plans.	200526	12 Years after approval	Non-confidential Destruction