



**LIBRARY OF VIRGINIA**

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

**RECORDS RETENTION AND DISPOSITION SCHEDULE**  
**SPECIFIC SCHEDULE NO. 440-011**  
Environmental Quality, Dept. of  
Petroleum Program

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

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY

*Valerie E. Henson*

STATE ARCHIVIST

*Samuel G. Zwick*

AGENCY RECORDS OFFICER

*Jay M. Mitchell*

COMPTROLLER OR DEPUTY

*[Signature]*

EFFECTIVE SCHEDULE DATE:

*April 15, 2014*

**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 signed RM-3 Form must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 Form must be sent to Library of Virginia (LVA).
4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving 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 or reformatting processes until all issues are resolved.

7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality 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 in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must ensure that information in confidential or privacy-protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
9. Under the Virginia Public Records Act, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<p><u>Aboveground Storage Tank (AST) Annual Groundwater Characterization Study (GCS) Reports</u></p> <p>This series documents the existing ground water characteristics and trends at aboveground storage tank (AST) facilities with storage capacity greater than one million gallons of petroleum. This series is cutoff after report receipt date. This series may include but is not limited to: annual Groundwater Characterization Study (GCS) reports that are based on the original GCS report submitted by the AST facility owner/operator.</p>	009580	5 Years after receipt	Non-confidential Destruction
<p><u>Aboveground Storage Tank (AST) Facility Compliance Files</u></p> <p>This series documents aboveground storage tank (AST) facility compliance and environmental status. This series is cutoff after facility closure. This series may include, but is not limited to: compliance correspondence from facility operator and/or DEQ, Oil Discharge Contingency Plan (ODCP) approval and renewal correspondence, and other correspondence and supporting documents.</p>	009581	10 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<p><u>Aboveground Storage Tank (AST) Facility Inspection Forms</u></p> <p>This series documents the inspection of aboveground storage tank (AST) facilities and facility compliance. The inspection process is completed every five years. This series is cutoff after inspection date. This series may include, but is not limited to: facility inspection checklist, inspection photographs and other related documentation. 9VAC25-91-10 et seq.</p>	009582	10 Years after inspection	Non-confidential Destruction



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<p><u>Heating Oil Tank Pollution Complaint (PC) Remediation Files</u></p> <p>This series documents the response to a report of low-risk petroleum releases, typically from an aboveground or underground heating oil tank. This series is cutoff after remediation file is closed. This series may include, but is not limited to: confirmed release and case closure letters, site characterization reports and addenda, DEQ site visit field notes and memos, corrective action plans and addenda, and final monitoring results prior to case closure. COV 62.1-44.15; COV 62.1-44.34:8 et seq.</p>	200191	5 Years after closed	Non-confidential Destruction
<p><u>Oil Discharge Contingency Plan Files - Closed Facilities</u></p> <p>This series documents contingency plans that are related to closed regulated aboveground storage tank (AST) facilities with a capacity of 25,000 gallons or greater. This series is cutoff after facility closure. This series may include, but is not limited to: contingency plans and other supporting documentation. 9VAC25-91-170E</p>	009584	5 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<p><u>Oil Discharge Contingency Plan Files - Open Facilities</u></p> <p>This series documents contingency plans that are required for open regulated aboveground storage tank (AST) facilities with a capacity of 25,000 gallons or greater. This series is cutoff after contingency plan file is superseded, obsolete, or rescinded. This series may include, but is not limited to: contingency plans and other supporting documentation. 9VAC25-91-170E</p>	009583	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction



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<u>Petroleum Storage Tank - Non-critical Compliance Documents - No Problem Reported</u> This series documents compliance data gathered to create the final inspection checklist for aboveground storage tank (AST) and underground storage tank (UST) facilities at a particular point in time. This series is cutoff after data is entered into the AST or UST Inspection Form Series. This series may include, but is not limited to: inspection data and supporting documentation such as monthly release detection reports, automatic tank gauge printouts, and Statistical Inventory Reconciliation (SIR) records.	009585	0 Years after last action	Non-confidential Destruction
<u>Petroleum Storage Tank - Non-critical Compliance Documents - Problem Reported</u> This series documents compliance data gathered to create the final inspection checklist for aboveground storage tank (AST) and underground storage tank (UST) facilities at a particular point in time where a problem is discovered. This series is cutoff after compliance is re-established. This series may include, but is not limited to: inspection data and supporting documentation such as monthly release detection reports, automatic tank gauge printouts, and Statistical Inventory Reconciliation (SIR) records.	009586	0 Years after last action	Non-confidential Destruction
<u>Petroleum Storage Tank Registration Files - Aboveground Storage Tanks (AST)</u> This series documents aboveground storage tank (AST) equipment registration and contents. This series is cutoff after AST facility closure. This series may include, but is not limited to: Form 7540 (Registration for Facility and Aboveground Storage Tank), copies of receipt and deposit of checks for fees, and registration correspondence between DEQ and the facility.	009587	50 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction



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<u>Petroleum Storage Tank Registration Files - Underground Storage Tanks (UST)</u> This series documents underground storage tank (UST) equipment registration and contents. This series is cutoff after last UST facility closure. This series may include, but is not limited to: Form 7530 (Notification for Underground Storage Tanks), copies of receipt and deposit of checks for fees, and registration correspondence between DEQ and the facility.	009588	50 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<u>Petroleum Storage Tank Reimbursement Claim Files</u> This series documents the reimbursement of storage tank owners for remediation of leaks and third party liability payments. This series is cutoff after date of closure of case file. This series may include, but is not limited to: claim forms, invoices, Activity Authorization Forms, bids and bid forms, DEQ verification of work performed, and fund access analysis.	009589	5 Years after closed	Non-confidential Destruction
<u>Petroleum Storage Tank Unsolicited Documents</u> This series documents unsolicited or unregulated documents submitted to the DEQ Petroleum Storage Tank Section. This series is cutoff after date of receipt, or, if a response is issued, after response date. This series may include, but is not limited to: extraneous Phase I and Phase II Environmental Site Assessment Reports, 7530 or 7540 forms which document unregulated tanks, and similar documents submitted to the Department, and any response from DEQ. 9VAC25-580-220	009591	90 Days after last action	Non-confidential Destruction



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<u>Underground Storage Tank (UST) and Aboveground Storage Tank (AST) Pollution Complaint (PC) Case Development Documents</u> This series documents the response to a release of petroleum or other regulated substance typically from a regulated underground storage tanks (UST) or aboveground storage tanks (AST), and heating oil storage tanks that are classified as high-risk. This series is cutoff after case is closed. This series may include, but is not limited to: reports not considered final, such as confirmed release letters, Site Characterization Reports (SCR) and Corrective Action Plans (CAP), SCR and CAP addenda not considered part of final reports, periodic groundwater monitoring reports, site visit field notes, review letters, file memos, correspondence generated during the investigation and cleanup of a release, and pre-enforcement files which may include enforcement referral documents, compliance letters, and notices of alleged violations (NOAV). 9VAC25-580-220; COV 62.1-44.15; COV 62.1-44.34:8 et seq.	200192	10 Years after closed	Confidential Destruction
<u>Underground Storage Tank (UST) and Aboveground Storage Tank (AST) Pollution Complaint (PC) Case Summary Documents</u> This series documents the cause, nature and extent of a release of petroleum or other regulated substance typically from regulated underground storage tanks (UST) or aboveground storage tanks (AST) and from heating oil tanks that are classified as high-risk. This series is cutoff after case is closed. This series may include, but is not limited to: summary of the investigation and cleanup, including final Site Characterization Reports (SCR), Corrective Action Plans (CAP), final monitoring data, case closure reports, closure letters and memoranda, and due diligence investigations made after a case closes. 9VAC25-580-220; COV 62.1-44.15; COV 62.1-44.34:8 et seq.	009590	50 Years after closed	Non-confidential Destruction



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<p><u>Underground Storage Tank (UST) Facility Compliance Files</u></p> <p>This series documents underground storage tank (UST) facility compliance. This series is cutoff after facility closure. This series may include, but is not limited to: closure documents, compliance letters, registration duplicate forms, UST closure reports, cathodic inspection test reports, installation evaluations for impressed current systems, documentation of internal inspections for lined tanks, contamination information, usage statistics, and pre-enforcement files which may include enforcement referral documents and notices of alleged violations (NOAV). 9VAC25-580-10 et seq.</p>	009592	5 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<p><u>Underground Storage Tank (UST) Facility Inspection Forms</u></p> <p>This series documents the inspection of underground storage tank (UST) facilities and facility compliance. This series is cutoff after inspection date. This series may include, but is not limited to: facility inspection checklist and other related documentation. 9VAC25-80-10 et seq.</p>	009593	12 Years after inspection	Non-confidential Destruction