



LIBRARY OF VIRGINIA

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

RECORDS RETENTION AND DISPOSITION SCHEDULE SPECIFIC SCHEDULE NO. 440-015



Environmental Quality, Dept. of
Air Quality, 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

AGENCY HEAD OR DEPUTY

AGENCY RECORDS OFFICER

STATE APPROVAL

STATE ARCHIVIST

COMPTROLLER OR DEPUTY



EFFECTIVE SCHEDULE DATE: 9/8/2022

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>Air Quality Division Permitting and Compliance Guidelines</u> This series documents the guidance, as well as the procedures used to give the guidance, on Air Division permitting and compliance. This series may include, but is not limited to: policies, memos, technical references, and manuals.	009515	50 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Air Quality Plan and Program Submittal Records</u> This series documents federal plan and program submittals. The core plan submittal records may include, but are not limited to: introductory and background information; demonstration of legal authority; control strategy; stationary-, mobile-, and transportation-source measures; regulations, emissions inventories, and compliance schedules and monitoring; intergovernmental consultation; and source-specific measures. Supporting documentation may include, but is not limited to: certification of public participation, summary and analysis of public comment, and technical support records.	009516		Permanent, In Agency
<u>Audit and Data Reports</u> This series documents grant reports submitted to the U. S. Environmental Protection Agency (EPA). This series may include, but is not limited to: internal audit reports, memoranda, and other Agency data records.	009517	11 Years after event	Non-confidential Destruction
<u>Carbon Dioxide Budget Trading Program</u> This series documents the information, notifications, and certifications from the sources subject to the Carbon Dioxide Budget Trading Program regulation. This series may include, but is not limited to: account certificates of representation, emissions monitoring information, compliance certifications, and budget permit applications. 9VAC5-140-6050.A.1	200693	10 Years after last action	Confidential Destruction



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<u>Data Quality Assessment Reports</u> This series documents the quality of data used to compile quarterly and annual reports submitted to the Environmental Protection Agency (EPA). The series may include, but is not limited to: Precision and Accuracy Data reports, PM2.5 Data Quality Assessment reports, digital thermometer calibrations, and other miscellaneous assessment reports.	000490	5 Years after submission	Non-confidential Destruction
<u>Emission Related Source Information Notifications, and Certification Reports</u> This series documents emission-related information, notifications, and certification reports from sources of air pollution. This series may include, but is not limited to: annual updates and emission statements, tax certification documents, construction/start-up notification reports, malfunction/maintenance reports, excess emission reports, Continuous Emission Monitor audit reports, fuel certification reports, Title V reports, and other periodic compliance reports.	009519	5 Years after last action	Non-confidential Destruction
<u>National Air Toxics Trends Stations and Urban Air Toxics Monitoring Program Records</u> This series documents the quality assurance processes used to monitor the National Air Toxics Trends Stations (NATTS) and the Urban Air Toxics Monitoring Program (UATM). This series may include, but is not limited to: instrument calibration records, maintenance checks, and monthly flowrate verification checks.	200668	6 Years after last action	Non-confidential Destruction
<u>PM2.5 Monitoring Program: Filter blanks</u> This series documents DEQ's Particulate Matter 2.5 Microns program, which monitors air quality through testing, and compiles and reports the data to the Environmental Protection Agency (EPA). This series may include, but is not limited to: field operators filter blank data, filter blank data compiled by the Division of Field Laboratory Services, and monthly filter blank reports compiled by the Office of Air Quality Monitoring.	000491	5 Years after submission	Non-confidential Destruction



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<u>PM2.5 Monitoring Program: Flow Transfer Standard Calibrations</u> This series documents DEQ's Particulate Matter 2.5 Microns program, which monitors air quality through testing, and compiles and reports the data to the Environmental Protection Agency (EPA). This series may include, but is not limited to: Flow Transfer Standards (FTS) Certification, FTS verification, and other calculations used to document the calculations of flow transfer standards.	000493	5 Years after submission	Non-confidential Destruction
<u>PM2.5 Monitoring Program: PM2.5 QA Checks</u> This series documents DEQ's Particulate Matter 2.5 Microns program, which monitors air quality through testing, and compiles and reports the data to the Environmental Protection Agency (EPA). This series may include, but is not limited to: Thermo PM2.5 2025 five-point calibration, monthly maintenance, quarterly maintenance, and monthly verification; MetOne PM2.5 speculation monthly verification; and Thermo PM2.5 Tapered Element Oscillating Microbalance (TEOM) monthly verification.	000492	5 Years after submission	Non-confidential Destruction
<u>Registered Source Federal Operating Permit Records</u> This series documents the issuance of an operational permit to a source of air pollution that is subject to Federal Title IV (Acid Rain) or Title V regulations. This series may include, but is not limited to: permits, cover letters, permit applications, permit applicability determinations, calculations, statements of legal and factual basis, maps and drawings, and correspondence.	009522	5 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction



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<u>Registered Source Permit Records</u> This series documents non-Title IV (Acid Rain) and non-Title V permit-related activities for registered sources of air pollution as well as determinations relative to Reasonable Available Control Technology. This series may include, but is not limited to: Stage II and other source registrations, permit applications and supporting review documentation, engineering analyses and calculations, public participation documentation, permits, Reasonably Available Control Technology analyses consent agreements, and correspondence.	009524	5 Years after equipment, facility, or property sold or no longer in use	Confidential Destruction
<u>Registered/Permitted Source Compliance Records</u> This series documents source compliance with regulations/permit terms or conditions. This series may include, but is not limited to: air source inspection reports, complaints, reviews, correspondence, stack tests, Visible Emissions Evaluations (VEE), tax exemption request documents, and enforcement documents. COV 58.1-3660	009521	5 Years after equipment, facility, or property sold or no longer in use	Confidential Destruction
<u>Regulatory Action Records</u> This series documents the regulatory development process and the final signed copy of the regulations. This series may include, but is not limited to: state and federal filings, documentation of public participation activities, Air Pollution Control Board documents, Attorney General correspondence, ad hoc group materials, surveys, literature searches, and inventories.	009518		Permanent, In Agency
<u>Stage II Records</u> This series documents the fulfillment of Stage II requirements following Stage II registrations. This series may include, but is not limited to: compliance records, correspondence, enforcement documents, reports, and tests/certifications.	009525	5 Years after last action	Non-confidential Destruction



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<u>Tanker Tightness Testing Records</u> This series documents compliance with testing requirements by tanker tightness testing facilities with respect to air quality and the fitness of the personnel who perform the testing. This series may include, but is not limited to: applications, approval letters, and other correspondence.	200505	5 Years after last action	Confidential Destruction
<u>Unregistered Source Records</u> This series documents unregistered air pollution sources, as well as sources identified only by the county or city in which the source is located. This series may include, but is not limited to: source registration updates, permit applications, pictures, diagrams, calculations, exemption determinations, complaints, and correspondence.	009526	5 Years after last action	Non-confidential Destruction
<u>Volkswagen Environmental Mitigation Trust Agreement for State Beneficiaries (State Trust Agreement)</u> This series documents the Volkswagen Environmental Mitigation Trust for State Beneficiaries (State Trust Agreement). It includes but is not limited to records such as: The State Trust Agreement, Approval of Beneficiary Status (D-3 to the State Trust Agreement), State Beneficiary Mitigation Plan, State Trust Eligible Mitigation Action (EMA) project agreements/contracts, EMA project invoices, EMA reimbursement requests (D-4 forms), bank ABA routing and account numbers, and EMA quarterly and semi-annual reports. Case 3:16-cv-00295-CRB Document 82-1	200755	5 Years after termination	Confidential Destruction
<u>Withdrawn Permit Application Record</u> This series documents proposed air pollution sources that are ultimately withdrawn. This series may include, but is not limited to: permit applications and supporting documentation.	009527	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction