



## 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. 440-018

Environmental Quality, Dept. of

Water, Division of

Stormwater, Dept. 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: 12/13/2018

### 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           |
|--|---------------|--|------------------------------|
| <u>Activities Authorized Under Construction Permit: Registration Statement Not Required</u><br><br>This series documents activities authorized under the Construction General Permit because the operator has received coverage under an agreement in lieu of a plan, therefore a registration statement is not required to be submitted. This series may include, but is not limited to: compliance documents, reports and correspondence.  | 200575        | 5 Years after expiration                         | Non-confidential Destruction |
| <u>Compliance and Inspections: Not Authorized Under Construction Permit</u><br><br>This series documents citizen concerns received by DEQ and inspections and compliance activities within the scope of the erosion and sediment control, and stormwater programs that are not and will not be authorized under a Construction General Permit. This series may include, but is not limited to: correspondence, inspection reports, project related documents, and compliance related documents pertaining to non-permitted land disturbance activities. COV 10.1-569.1 | 006155        | 5 Years after last action                        | Non-confidential Destruction |
| <u>Comprehensive Stormwater Management Plans for Non-Virginia Stormwater Management Program (Non-VSMP)</u><br><br>This series documents the review and approval for Comprehensive Stormwater Management Plans, also referred to as Stormwater Management Master Plans, designed for entities/facilities where there is no locally-approved Virginia Stormwater Management Program and therefore DEQ is the direct VSMP Authority. This series may include, but is not limited to: correspondence, plan sheets, and approval letters.                                   | 200641        | 0 Years after superseded, obsolete, or rescinded | Non-confidential Destruction |
| <u>Construction Stormwater Permit Compliance and Inspections</u><br><br>This series documents the agency's responsibilities pertaining to compliance with Construction Stormwater General and Individual Permits. This series may include, but is not limited to: inspections, correspondence, and compliance documentation.   | 200576        | 5 Years after termination                        | Non-confidential Destruction |



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|--|---------------|--|------------------------------|
| <u>Construction Stormwater Permit Processing</u><br><br>This series documents the processing of general and individual construction permits. This series may include, but is not limited to: permit applications, registration statements, supplemental information, permits, coverage letters, fact sheets, notice of termination documents, and correspondence. 4VAC50-60-1100; 4VAC50-60-1170                             | 001639        | 5 Years after termination                        | Non-confidential Destruction |
| <u>Erosion and Sediment Control and Stormwater Management Standards and Specifications</u><br><br>This series documents the review and approval of standards and specifications for erosion and sediment control and stormwater management. This series may include, but is not limited to: correspondence, standard and specification documents, reports, and approval letters. COV 10.1-564; COV 10.1-603.5; 4VAC50-30-100 | 006162        | 0 Years after superseded, obsolete, or rescinded | Non-confidential Destruction |
| <u>Erosion and Sediment Control and Stormwater Management Plan Review</u><br><br>This series documents the review and processing of erosion and sediment control and/or stormwater management plans. This series may include, but is not limited to: plan submittals; transmittal, approval, and denial letters; and correspondence. COV 10.1-564; COV 10.1-603.5; 4VAC50-30-100   | 006161        | 5 Years after project completion                 | Non-confidential Destruction |
| <u>Erosion and Sediment Control and Stormwater Management: Certifications</u><br><br>This series documents certification of persons in accordance 9VAC25-850 -Virginia Erosion and Sediment Control and Stormwater Management Certification Regulations. This series may include, but is not limited to: certificates and correspondence. 4VAC50-50-40; COV 10.1-561; COV 10.1-561.1   | 006156        | 1 Year after expiration                          | Non-confidential Destruction |



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|---|---------------|--|------------------------------|
| <u>Erosion and Sediment Control and Stormwater Management Training</u><br><br>This series documents training required and taken by private and public individuals to become certified under the Erosion and Sediment Control and Stormwater Management Certification Regulations. This series may include, but is not limited to: records of training events, attendance, and training materials. 4VAC50-50-40; COV 10.1-561; 4VAC50-50-50; COV 10.1-561.1  | 006158        | 3 Years after event                              | Non-confidential Destruction |
| <u>Local Program Authorities</u><br><br>This series documents the agency's approval and review of a local government's erosion and sediment control and stormwater management programs. This series may include, but is not limited to: correspondence, reports, and ordinances. 4VAC50-30-90; COV 10.1-562; COV 10.1-603.12  | 006159        | 0 Years after superseded, obsolete, or rescinded | Non-confidential Destruction |
| <u>Post-construction Stormwater Management Documents</u><br><br>This series documents the Best Management Practices (BMPs) and other structures built on a site to control post-construction stormwater after the development is finished, the agreement for the maintenance of such structures, and agency inspections of the site and structures. This series may include, but is not limited to: construction record drawings, approved stormwater management plans, maintenance agreements, and inspection reports. | 200578        | 0 Years after superseded, obsolete, or rescinded | Non-confidential Destruction |



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|--|---------------|--|------------------------------|
| <u>Virginia Erosion and Sediment Control and Stormwater Management Program Guidance and Reference Materials</u><br><br>This series documents current guidance pertaining to the Virginia Erosion and Sediment Control and Stormwater Management Program implementation. This series may include, but is not limited to: manuals, technical resources, Best Management Practices (BMP) specifications, Manufactured Treatment Device (MTD) submittals and approvals, and program guidance, policy or memorandums. | 200577        | 0 Years after superseded, obsolete, or rescinded | Non-confidential Destruction |