



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. 440-019
Environmental Quality, Dept. of
Financial Responsibility and Data Management, Office of

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 *[Signature]*

STATE ARCHIVIST *[Signature]*

AGENCY RECORDS OFFICER *[Signature]*

COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: MAR 24 2015

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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EFFECTIVE SCHEDULE DATE: 3/24/2015

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Financial Responsibility: Hazardous Waste Facilities</u> This series documents that owners and/or operators of hazardous waste facilities have the financial resources necessary for the closure, post-closure care, and corrective action at their facilities. This series may include, but is not limited to: correspondence, cost estimates, and other supporting documentation.	200383	5 Years after termination of post-closure care	Non-confidential Destruction
<u>Financial Responsibility: Solid Waste Facilities</u> This series documents that owners and/or operators of solid waste facilities have the financial resources necessary for the closure, post-closure care, and corrective action at their facilities. This series may include, but is not limited to: correspondence, cost estimates, and other supporting documentation.	200384	5 Years after termination of post-closure care	Non-confidential Destruction
<u>Financial Responsibility: Underground Petroleum Tanks, Aboveground Storage Tanks, and Pipelines</u> This series documents that the owners and/or operators of underground petroleum tanks, aboveground storage tanks, and pipelines have the necessary financial resources to clean up releases/discharges of oil until after the time of proper closure or change in service for underground petroleum tanks and/or after the aboveground storage tank(s) or pipeline(s) have been permanently closed. This series may include, but is not limited to: correspondence, notices, consent orders, and other supporting documentation.	200385	5 Years after termination of post-closure care	Non-confidential Destruction