



**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. 601-190**

Health, Dept. of  
Drinking Water

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 *Mary J. De...*  
AGENCY RECORDS OFFICER *[Signature]*

STATE ARCHIVIST *Sandra Y. Trethewey*  
COMPTROLLER OR DEPUTY \_\_\_\_\_

EFFECTIVE SCHEDULE DATE: **MAY 19 2016**

**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>Complaint Investigations</u><br>This series documents investigations of complaints made by the public on issues such as quality and contamination of water, well pollution, and presence of lead. This series may include, but is not limited to: complaint letters, investigation notes, decisions, reports, and responses.  | 000439        | 10 Years after event            | Non-confidential Destruction |
| <u>Construction Documents</u><br>This series documents the permitting, design, and construction of waterworks to ensure the facility meets the requirements of Virginia Waterworks Regulations and the Environmental Protection Agency (EPA). This series may include but is not limited to: construction permits, engineering description sheets, special or proprietary specifications, and design reports. COV 54.1-102; 12VAC5-590-190 - 320     | 000440        |                                 | Permanent, In Agency         |
| <u>Construction Documents: Working Files</u><br>This series documents the permitting, design, and construction of waterworks to ensure the facility meets the requirements of Virginia Waterworks Regulations and the Environmental Protection Agency (EPA). This series may include but is not limited to: change orders, addenda, Preliminary Engineering Reports (PER), and general section of specifications. COV 54.1-102; 12VAC5-590-190 - 320 | 000441        | 1 Year after project completion | Confidential Destruction     |
| <u>Consumer Confidence Reports (CCR)</u><br>This series documents the reporting of educational information, including water source, detected contaminants and waterworks compliance to the public. This series may include, but is not limited to: CCR report, certification, determinations establishing alternative public notifications requirements, approval letters, and review notes. 12VAC5-590-545; 40CFR141 Supart O; 40CFR142.16(f)       | 000442        | 5 Years after decision          | Non-confidential Destruction |



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|---|---------------|----------------------------|------------------------------|
| <u>Department of Environmental Quality (DEQ) Permits</u><br>This series documents interaction with DEQ to grant environmental permits, such as Virginia Pollution Abatement (VPA) and Groundwater Withdrawal Permits, Virginia Pollutant Discharge Elimination System (VPDES), and Virginia Water Protection Applications/Permit (VWP). This series may include, but is not limited to: correspondence, memoranda, response memos, transmittal letters, applications, and maps. 9VAC25-210-185  | 000443        | 15 Years after decision    | Non-confidential Destruction |
| <u>Environmental Review</u><br>This series documents contribution to environmental reviews done for groups such as State Environmental Review Process (SERP), DEQ, towns, municipalities, cities, and land trusts. This series may include, but is not limited to: maps, assessment documentation, preliminary engineering reports, and summary reports. COV 10.1-1188  | 000444        | 3 Years after event        | Non-confidential Destruction |
| <u>Federal Reports and Requests</u><br>This series documents interaction with federal agencies regarding technical issues required to establish primacy in Virginia and operate a public water system program for the state. This series may include, but is not limited to: Enforcement Targeting Tool(ETT)lists and reports; violation and enforcement data to Safe Drinking Water Information System (SDWIS) and federal system (FED); Surface Water Treatment Rule (SWTR) data; Operator Certification Program annual report; and annual capacity development implementation report for new and existing systems. 40CFR142.16 | 000445        | 5 Years after receipt      | Non-confidential Destruction |



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|--|---------------|----------------------------|------------------------------|
| <u>Financial and Construction Assistance Programs</u><br>This series documents management of two funding sources under the Financial and Construction Assistance Programs (FCAP): Drinking Water State Revolving Fund (DWSRF) Program and the Water Supply Assistance Grant (WSAG) Fund Program. This series may include, but is not limited to: applications, expenditure reports, certification documents, program design manuals, project schedules, cash flow documents, preliminary engineering report (PER), specifications, final project evaluations, drawings, maps, operating agreement, intended use plan, and annual audited financial statements. 40CFR30.53; COV 32.1-1712; 42 U.S.C 300j-12 | 000446        | 3 Years after submission   | Non-confidential Destruction |
| <u>Inter-Agency Coordination Meeting (IACM): Environmental Review</u><br>This series documents involvement in interagency consultation on state highway projects and other types of construction projects that might affect drinking water, federally endangered or threatened species, designated trout streams, or anadromous fish streams. This series may include, but is not limited to: water quality permits, permit modifications, maps, photographs, and geological assessment records. COV 62.1-44.15:5.01   | 000447        |                            | Permanent, In Agency         |
| <u>Lab to State (LTS) Database</u><br>This series documents the Lab to State (LTS) database, which tracks waterworks facilities, sampling data, compliance status, violations, and inspection schedules. 40CFR142.15   | 000448        | 40 Years after event       | Non-confidential Destruction |



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|--|---------------|---|------------------------------|
| <p><u>Notices of Violation (NOV) and Compliance Records</u></p> <p>This series documents reviews of water quality data submitted by public water suppliers and issuances of Notices of Violation (NOV) to waterworks that do not meet the standards contained in the Virginia Waterworks Regulations. This series may include, but is not limited to: public notifications to consumers; notification to waterworks; EPA NOVs; order of agreement; and consent, administrative, and special orders. COV 32.1-170</p> | 000449        |   | Permanent, In Agency         |
| <p><u>Operation Permits</u></p> <p>This series documents the issuance of waterworks operation permits. This series may include, but is not limited to: permit applications, waterworks business operation plans, operation permits, waterworks description sheets, variances, exemptions, and transmittal checklists. COV 32.1-172; 12VAC5-590-190:320</p>   | 000450        | 40 Years after superseded, obsolete, or rescinded | Non-confidential Destruction |
| <p><u>Program Time and Activities Accounting</u></p> <p>This series documents time spent by field office staff on activities, such as evaluations, enforcement, monitoring, and investigations, associated with ODW programs. This series may include, but is not limited to: project evaluations; technical surveys; and compliance, training, and program management.</p>  | 000451        | 50 Years after creation                           | Non-confidential Destruction |
| <p><u>Project Tracking (PT) Log</u></p> <p>This series documents waterworks facilities approval process. This series may include, but is not limited to: plans, specifications, addenda, change orders, applications, reports, and Safe Drinking Water Act (SDWA) reports.</p>   | 000452        |   | Permanent, In Agency         |



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|---|---------------|---|------------------------------|
| <u>Safe Drinking Water Act Reports, Monitoring Plans, Decisions and Determinations</u><br>This series documents approved plans for monitoring water quality and operational practices. This series may include but is not limited to: approval letters, monitoring plans, waivers, reports, drawings, maps, and review notes. 12VAC5-590-370 B; 40CFR142.14   | 000453        | 1 Year after superseded, obsolete, or rescinded | Confidential Destruction     |
| <u>Safe Drinking Water Information System (SDWIS) State and SDWIS Reports and Retrievals Databases</u><br>This series documents the Safe Drinking Water Information System (SDWIS) State, SDWIS Reports and Retrievals, and Lab to State (LTS) databases, which track waterworks facilities, sampling data, compliance status, violations, and inspection schedules. 40CFR142.15; 40CFR142.14   | 000454        |   | Permanent, In Agency         |
| <u>Safe Drinking Water Information System (SDWIS): Error, Summary, and Retrieval Reports</u><br>This series documents the Safe Drinking Water Information System (SDWIS) State, Reports and Retrievals, and Lab to State (LTS) databases, which track waterworks facilities, personnel, sampling data, compliance status, violations, and inspection schedules. This series may include, but is not limited to: error and summary reports. 40CFR142.15; 40CFR142.14 | 000455        | 2 Years after event                             | Non-confidential Destruction |
| <u>Sanitary Surveys.</u><br>This series documents the routine inspections and evaluations of a waterworks facility, water source, operation, and maintenance. This series may include, but is not limited to: reports and photographs of facilities. 12VAC5-590-350; 40CFR142.10(b)(c); 40 CFR 142.15(c)(5); 40 CFR 142.14(d)   | 000456        | 12 Years after end of calendar year             | Non-confidential Destruction |



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| <p><u>Source Water Assess Program (SWAP)</u></p> <p>This series documents the regulating of public drinking water and education to the public about the source of drinking water in each public water system, as required by the Source Water Assessment Program (SWAP). This series may include, but is not limited to: photographs, maps, public service announcements, drawings, geological information, potential sources of contamination inventories and summaries, and SWAP Geographical Information System (GIS) records.<br/>42USC300j</p> | 000457        |                            | Permanent, In Agency         |
| <p><u>Source Water Protection Program (SWP)</u></p> <p>This series documents effort to prevent pollution of rivers, lakes, streams, and groundwater that serve as a supply of public drinking water. This series may include, but is not limited to: technical advice, plans, and reports. 42 USC 300j et seq</p>   | 000458        |                            | Permanent, In Agency         |
| <p><u>Technical Evaluations: Not Requiring Sanitary Survey</u></p> <p>This series documents the inspection and evaluation of facilities and sites that are not waterworks, but where a source water evaluation is requested of ODW. This series may include, but is not limited to: evaluations, inspection reports, and recommendations.</p>   | 000459        | 3 Years after event        | Non-confidential Destruction |
| <p><u>Waterworks Reports: Bacteriological Sampling Results</u></p> <p>This series documents required bacteriological sampling done by owners of waterworks. COV 32.1-170; 40 CFR 142.14(a)(1); 40 CFR 142.14(a)(2)</p>  | 000460        | 1 Year after receipt       | Non-confidential Destruction |
| <p><u>Waterworks Reports: Chemical Sampling Results</u></p> <p>This series documents the results of required chemical, radiological, physical, special, and microbiological sampling done by owners of waterworks. This series may include, but is not limited to: reports. 40CFR142.14; COV 32.1-170</p>   | 000461        | 40 Years after receipt     | Non-confidential Destruction |



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| <u>Waterworks Reports: Operational Reports and Assessments</u><br><br>This series documents the operational reporting and monitoring of waterworks' samples to ensure the waterworks facility is in compliance with Virginia waterworks regulations and SDWA regulations. This series may include, but is not limited to: reports detailing monthly, daily, and average water production; population and number of connections served; and daily chlorine residuals from distribution systems; and completed corrective actions and assessments. 12VAC5-590-330; 40CFR142.14 | 000462        | 5 Years after receipt      | Non-confidential Destruction |
| <u>Well Site Approvals</u><br><br>This series documents the process to verify that the approval or rejection of proposed wells, and the siting of wells, meet state and federal requirements. This series may include, but is not limited to: waterworks applications, on-site assessments, evaluations of susceptibility to contaminants, sketches, maps, coordinates' and inspection reports. 12VAC5-590-200   | 000463        | 12 Years after approval    | Non-confidential Destruction |
| <u>Working Memos</u><br><br>This series documents procedures providing direction and guidance on technical and administrative tasks performed by ODW staff. This series may include, but is not limited to: memos regarding contaminants, design, and construction of groundwater sources; operators and waterworks classification; and vulnerability assessments.   | 000464        |                            | Permanent, In Agency         |