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STATE OF ALASKA

Schedule Number: 181302

Agency ID #: 417

RECORDS RETENTION SCHEDULE

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<p>DEPARTMENT OF ENVIRONMENTAL CONSERVATION</p> <p>DIVISION OF WATER</p> <p>WATER PROGRAMS</p>	<p style="text-align: center;">KEY</p> <p>A - After Audit Numerals - Years in addition to current year</p> <p>CFY - Current Fiscal Year</p> <p>CY - Current Year TO - Term of Office</p> <p>P - Permanent S/M - After Scanning/ Microfilming</p> <p>C - Current or as defined</p>
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The Agency will follow retention periods for common records as listed in the State of Alaska General Administrative Records Schedule #100.2, unless those records have been listed on this schedule.

Unless otherwise noted all records are retained on Fiscal year basis.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible retention in the Alaska State Archives in accordance with AS 40.21.030. Accessioned records may be reappraised for permanent value every four years or at the archivist's

Unless otherwise indicated all records series are nonconfidential. This records schedule supercedes #181301.

Statutory Authority: AS 46.03; AS 46.04; AS 44.19; AS 46.40; AS 44.62; 8 AAC 80; 18 AAC 15; 18 AAC 70; 18 AAC 72; 6 AAC 50; 11 AAC 95; 5 AAC 93; Federal Coastal Zone Management Act Reauthorization of 1990; Federal Clean Water Act; Federal Clean Air Act.

The mission of the Water Division is to prevent, monitor and control discharges into the water to protect public health and the environment. Water Programs assess, protect, and restore water quality in watersheds; develop water quality standards and criteria for Alaska; implement statewide water quality protection and control programs for water pollution, groundwater, coastal management and wetlands; and, issue/certify water quality permits and assure compliance with those permits.

NOTE: Under 4 AAC 59.005 it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed below are approved for retention and disposition as indicated.

Division Director	State Archivist	Date	Attorney General	Date
Lynn Tomich Kent	<i>Glenn J Cook</i>	5/5/08	<i>Craig J Talley</i>	4/19/08
Signature of Division Director/Designee	Records Analyst	Date	Commissioner of Administration	Date
<i>Lynn Tomich Kent</i>	<i>Christopher L. Hillis</i>	3-5-08	<i>[Signature]</i>	5/21/08

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				Retention		Disposition		
Item No.	Records Series Title and Description	Office	Records Center	State Archives	Destroy	Vital Record	Remarks	
1	<p>GENERAL ADMINISTRATIVE RECORDS:</p> <p>Includes administrative records related to Budget Preparation; General Accounting; Grant Management; Procurement, Leasing & Property; General Administrative; Personnel Administration; and, Information Technology.</p> <p>Water Programs staff will follow retention periods as listed in the General Administrative Records Retention Schedule (GRS).</p>	-	-	See GRS	See GRS		<p>All duplicate copies of records maintained on any media may be destroyed as soon as administrative/management need is met.</p> <p>The <u>General Schedule</u> may be accessed on the Records Management homepage. When transferring records to the records center, please refer to the relevant item number from the GRS.</p>	
2	<p>Responses to Public Comments:</p> <p>Division response regarding public comments provided at permit hearings.</p>	10	-	-	10			
3	<p>Water Quality Criteria Documents:</p> <p>This records series outlines water quality standards for the State that are issued irregularly by the federal government. Includes quality standards documentation, chemical specifications and other data relevant to state administration of water.</p>	C	50	-	C+50		<p>C=Until obsolete or superseded.</p> <p>Refer also to the General Administrative Records Retention Schedule, Item 75, Technical Reference Files.</p>	

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4	<p>Site Specific Regulation Files (Revision/Review & Site Specific):</p> <p>Documents decisions made regarding regulation revision. Includes comments from the Department of Law, analyses, position papers and other correspondence. Site specific records include changes and modifications to permits (e.g., Red Dog Mine).</p> <p>Arranged alphabetically by title.</p>	C	50	-	C+50		<p>C= Until obsolete or superseded.</p> <p>Permits are renewed every five years and updated. Site specific regulation files must be maintained to provide historical continuity.</p> <p>Refer also to the General Administrative Records Retention Schedule, Item 64, Legislative/Regulation/Bill Files.</p>	
5	<p>EPA Documents:</p> <p>These published documents support or provide relevant data regarding program development.</p> <p>Arranged by EPA document number.</p>	C+10	-	-	C+10		<p>C= Until obsolete or superseded.</p> <p>Refer also to the General Administrative Records Retention Schedule, Item 75, Technical Reference Files.</p>	
6	<p>Presentation & Training Files:</p> <p>Developed for public forums/hearings consisting of multimedia materials (PowerPoint, overheads, and videos).</p> <p>Arranged by subject.</p>	C+6	-	-	C+6		<p>C=Until project is concluded.</p>	

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7	<p>401 Certifications for Wetland Fill Projects (Permits):</p> <p>(Backup):</p> <p>Water quality certifications and storm water plan approvals for construction and ongoing industrial activities. Includes original applications, agency (ADF&G, DNR) comments and decision documents. Some information is kept in an Excel spreadsheet.</p>	C+5	-	-	C+5		C=Until permit expires. Permit life is usually five years.
		C	-	-	C		
8	<p>Waste Water Disposal Permits:</p> <p>This records series documents issuance of State waste water disposal permits (industrial & domestic) and includes applications, copy of final permit, discharge monitoring reports, correspondence between applicant and DEC, pictures of facilities and other supporting data.</p> <p>Arranged numerically by location of facility.</p>	C+6	-	-	C+6		C=As long as facility is in existence. State permits are generally valid for a period of five years.
9	<p>Forestry Permits:</p> <p>(Backup):</p> <p>Wastewater discharge permits for log transfer facilities. Includes original applications, agency (ADF&G, DNR) comments and decision documents.</p> <p>Arranged numerically.</p>	C+5	-	-	C+5		C=Until permit expires. Permit life is usually five years.
		C	-	-	C		

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10	<p>Statewide Planning Documents:</p> <p>Statewide planning documents that support Alaska's clean water actions which set the State's priorities in protecting and improving water quality, water quantity and fish habitat. Records series consists of all backup reference documentation and correspondence.</p>	C	-	P	-		C=Until obsolete, superseded or administrative/management need is met. Recommend review every five years.
11	<p>Nonpoint Source Pollution Control Strategy:</p> <p>The Strategy update is designed to identify sources of pollution that can occur in Alaska and suggests actions to manage those sources to control pollution. Records series consists of all backup reference documentation and correspondence.</p>	C+20	-	P	-	X	<p>C=Until superseded by official update.</p> <p>Strategy required under Section 319 of the Clean Water Act in order to receive grant funding for projects that control nonpoint source pollution. Also integrates elements of Section 6217 of the Coastal Zone Management Act Reauthorizations of 1990 designed to control nonpoint source pollution in coastal areas. First Strategy was published in 1990; and revised in 2000, and 2007.</p>
12	<p>Water Quality Data:</p> <p>Collected data (most electronic in Oracle & MS Access databases, some manual) related to water quality and used to monitor trends over a long period of time. Some data is generated digitally by field staff from instrumental measurements made onsite. Also includes photographs, field note books, quality assurance plans and written lab analyses, the results of which are input into the Storet database (Item 14).</p>	C+20	-	-	C+20		<p>C= Until obsolete or superseded.</p> <p>Long term retention necessary to maintain referential integrity. Some data collected is administered by EPA.</p>

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13	<p>Water Permit Tracking Database:</p> <p>Designed to monitor the status of any given permit with a wastewater discharge during the lifetime and its associated discharge requirements. It includes time-related administrative action data, permittee and agency identifier data, locational data and numeric discharge-related parametric limit data. Current database is Discharge Results and Online Permit System (DROPS) that will interface with EPA ICIES/NPDES System. Precursor was AK Permit.</p>	C+20	-	-	C+20		<p>C= Until obsolete or superseded.</p> <p>Long term retention necessary to maintain referential integrity. Some data collected is administered by EPA.</p>	
14	<p>STORET (STORage & RETrieval) Database:</p> <p>This database serves as the primary repository for the storage and retrieval of ambient water quality and water permit monitoring data. It provides a mechanism to assess long-term trends and assess water permit performance. It includes chemical, biological and habitat-related surface and groundwater water quality data, from both the marine and freshwater environments and the contextual data (metadata) associated with how the water quality data was collected.</p>	C+20	-	-	C+20		<p>C= Until obsolete or superseded.</p> <p>STORET was developed by EPA as a repository for water quality, biological and physical data for use by states and the public. It operates in an ORACLE, thin-client/server, web-based environment.</p> <p>Long term retention necessary to maintain referential integrity. Some data collected is administered by EPA.</p>	
15	<p>Clean Water Act Section 303(d) List:</p> <p>List of impaired waters required to be updated and submitted to EPA every two years.</p>	C+20	-	P	-	X	C=Until superseded by official update.	

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16	<p>Clean Water Act Section 305(b) Water Quality Assessment Report:</p> <p>Report required by EPA documenting health of all State waters.</p>	C+20	-	P	-	X	C=Until superseded by official update. Report submitted electronically to EPA.	
17	<p>Complaints:</p> <p>Random general citizen water quality complaints not specifically related to a permitted activity received through letters, phone calls, emails and walk-in referrals. May include photographs and other media.</p> <p>Arranged alphabetically by complaint.</p>	3	-	-	3		<p>Certain data is input into CATS (Item 23).</p> <p>Citizen complaints require agency verification to establish both the degree and extent of a genuine situation; verification may lead to an eventual enforcement action.</p>	
18	<p>Project Reports:</p> <p>These reports are pulled from the grants files and retained for reference.</p> <p>Arranged numerically and alphabetically by grantee.</p>	20	-	P	-		<p>For retention requirements for Grant Administration records refer to the General Administrative Records Retention Schedule, Items 40-44.</p> <p>Annual accrual rate of the reports is less than 1 cubic foot.</p>	

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19	Remediation Plans: TMDL's remediation plans specific to logging transfer facilities.	C+50	-	-	C+50		C=Until plan is obsolete or superseded. TMDL: Total Maximum Daily Load, required actions for polluted waters found on Alaska 303(d) list of impaired waters (Item 15).	
20	EIS Comments: Timber sale review documents for water quality and related habitat concerns pursuant to the National Environmental Policy Act (NEPA).	3	-	-	3		EIS: Environmental Impact Statement Refer also to the General Schedule, Item 75, Technical Reference Files.	
21	Inspection Reports: Field trip reports containing recommendations for enforcement actions. Arranged chronologically.	6	-	-	6		May contain information from CATS, Item #23.	

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22	<p>TMDL (Total Maximum Daily Load):</p> <p>Report required by EPA constituting a water body recovery plan to rehabilitate waters in order to meet clean water standards.</p>	C+5	-	-	C+5		C=Until final implementation plan is completed.	
23	<p>Complaint Automated Tracking System (CATS):</p> <p>CATS assists ADEC staff in tracking complaints and documents subsequent enforcement actions. Complaint data is entered into CATS from individual workstations; complaints can be referred to the appropriate field officer via phone, email, or hand delivering a copy of the Report of Complaint. Data captured includes: tracking number, names/addresses of persons/businesses, vehicle information, offences, and actions taken.</p>	P	-	-	-		<p>CATS, written in Microsoft Access and used with the Microsoft SQL Server, is used by ADEC staff and contains both public and confidential information. It provides a complete report package, but can also be used as a supplement to a report depending on the size and depth of the case. Public information in CATS can be obtained upon request to the appropriate ADEC Division.</p> <p>CATS is maintained by the Alaska Statewide Environmental Crimes Unit, Division of Information and Administrative Services.</p>	
24	<p>Enforcement, Appeals, Adjudications, Casefiles:</p> <p>This series documents actions at law and compliance issues as they relate to water quality and permits for compliance enforcement.</p>	C+6	-	-	C+6		<p>C=Until the casefile is closed.</p> <p>May contain information from CATS, Item #23.</p>	