



DEPARTMENT OF PERSONNEL & ADMINISTRATION
 STATE ARCHIVES AND PUBLIC RECORDS
 RECORDS DISPOSITION SCHEDULE

ARCHIVES NO.
 13-39

DEPARTMENT Public Health and Environment	DIVISION Water Quality Control	SECTION Clean Water	PERMANENT <input checked="" type="checkbox"/>
			NON-PERMANENT <input type="checkbox"/>

ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
1.	Facility Design and Build		
	1. Site Application Submittal Package	Permanent	
	2. Process Design Report (PDR) Submittal Package	Permanent	
	3. Final Design Submittal Package (including Certification, Plans and Specifications, Plans and Specifications Approval Letter and Engineering Reports)	Permanent	
	4. Constructed-As-Approved Certifications	Permanent	
	5. Preliminary Effluent Limits (PEL) Documents	Permanent	
	6. Site Location Approval Letters	Permanent	
2.	Permit		
	1. Application		
	1. Applications (including Renewals and Reapplications)	Permanent	<p>No records shall be destroyed so long as they pertain to any pending legal case, claim, action or audit. All records will be evaluated when a destruction date arrives to determine whether they still have administrative, operating, legal or historical value that may warrant retaining them longer.</p> <p>Electronically Stored Information (ESI) shall be retained according to the equivalent physical record retention period.</p> <p>Duplicates are retained until no longer needed, then destroyed.</p>

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I will comply with all conditions in the Records Management Policies and Procedures Manual.

State Archivist's Signature 	Date 02/25/2013	Records Liaison Officer's Signature 	Date 2-25-13
Attorney General's Signature 	Date 6/10/13	State Auditor's Signature 	Date 5-10-13



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DEPARTMENT Public Health and Environment		DIVISION Water Quality Control		SECTION Clean Water		PERMANENT <input checked="" type="checkbox"/>		NON-PERMANENT <input type="checkbox"/>	
ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS					
2.	2. Facility Schematics	Permanent		<i>No records shall be destroyed so long as they pertain to any pending legal case, claim, action or audit. All records will be evaluated when a destruction date arrives to determine whether they still have administrative, operating, legal or historical value that may warrant retaining them longer.</i>					
	3. Flood Control Plans	Permanent							
	4. Stormwater Management Plans	Permanent							
	5. Modification Requests	Permanent							
	6. Transfer Requests	Permanent							
	7. Termination/Inactivation Requests	Permanent							
	2. Permit	Permanent							
	1. Permit/Certification (Including General, Short-Term, Minimal Discharge and Construction Dewatering)	Permanent							
	2. Administrative Extensions/Continuations	Permanent							
	3. Notice of Authorization (Biosolids/Reuse)	Permanent							
4. Modifications/Amendments	Permanent								



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DEPARTMENT	DIVISION	SECTION	PERMANENT	NON-PERMANENT
Public Health and Environment	Water Quality Control	Clean Water	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
2.	5. Rationales/Fact Sheets 6. Water Quality Assessment Reports 7. Rainfall Erosivity Waivers (R-waivers) 3. Supporting Documentation 1. Correspondence 1. From the Division 2. To the Division 2. Change of Personnel, Contact or Address 3. Supporting Analyses and Calculations 4. Soils and Solids Data 5. Reports 1. Annual Stormwater Reports 2. Discharge Monitoring Reports (DMR)	Permanent Permanent Permanent Permanent Permanent Permanent Permanent Permanent (5) years	<i>No records shall be destroyed so long as they pertain to any pending legal case, claim, action or audit. All records will be evaluated when a destruction date arrives to determine whether they still have administrative, operating, legal or historical value that may warrant retaining them longer.</i>	



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS		
2.	3. Special Reports (Non-Routine Reports, Including Compliance Schedule Submittals and Non-Compliance Notifications)	Permanent			
	6. Materials Containment Plans	Permanent			
	7. Inspections	Permanent			
	8. Compliance Advisories	Permanent			
	9. Worksheets, Checklists and Other Working Documents	Until administrative need ends			
3.	County Files: Documents Related to Clean Water with no Associated Permit or Certification 1. Spill Reports	Permanent	<i>No records shall be destroyed so long as they pertain to any pending legal case, claim, action or audit. All records will be evaluated when a destruction date arrives to determine whether they still have administrative, operating, legal or historical value that may warrant retaining them longer.</i>		



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DEPARTMENT Public Health and Environment	DIVISION Water Quality Control	SECTION Clean Water	PERMANENT <input checked="" type="checkbox"/> NON-PERMANENT <input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
4.	Other Records 1. Electronic Databases: such as Spills Database, Wastewater Inspection Plans, Raw Data and Calculations Used to Write Permits 2. Tracking Sheets: such as those Used to track the Permit Application Process 3. 401/404 Certification Reviews 4. Requests for Records and Responses (Emails, Notes, Facsimiles and Documents Created in Response) 5. Public Notices 6. Map, Drawing, Photograph (or other item too big to scan) 7. Notice of Records Destroyed 8. Division Generated Notes and Memoranda	Permanent Permanent (7) years from document date (2) years from date of response Permanent Until administrative need ends Permanent Permanent	<p><i>No records shall be destroyed so long as they pertain to any pending legal case, claim, action or audit. All records will be evaluated when a destruction date arrives to determine whether they still have administrative, operating, legal or historical value that may warrant retaining them longer.</i></p>

WATER QUALITY CONTROL DIVISION RECORDS DISPOSITION RATIONALE
Colorado Department of Public Health and Environment
January 2013

Unit/Program: Clean Water					
Record	Copy ⁺	Statute/Regulation/ Guidance	Retention Period	Rationale*	Special Instructions
1. Facility Design & Build					
1.1 Site Application Submittal Package	R		Permanent	Business process	
1.2 Process Design Report (PDR) Submittal Package	R		Permanent	Business process	
1.3 Final Design Submittal Package (including Certification, Plans and Specs, Plans and Specs Approval Letter and Engineering Reports)	R		Permanent	Business process	
1.4 Constructed-as-Approved Certification	R		Permanent	Business process	
<i>No record shall be destroyed that pertains to any pending legal case, claim, action or audit.</i>					

⁺ This column should indicate whether the retention pertains to the Record copy (R) or Duplicate copy (D).

* This column should reflect the interpretation of the statute, condition specific epidemiology or other considerations used to determine the retention period and special instructions.

WATER QUALITY CONTROL DIVISION RECORDS DISPOSITION RATIONALE
Colorado Department of Public Health and Environment
January 2013

Unit/Program: Clean Water					
Record	Copy⁺	Statute/Regulation/ Guidance	Retention Period	Rationale[*]	Special Instructions
1.5 Preliminary Effluent Limits (PEL) Documents	R		Permanent	Business process	
1.6 Site Location Approval Letters	R		Permanent	Business process	
2. Permit					
2.1 Application					
2.1.1 Application (including Renewals and Reapplications)	R		Permanent	Business process	
2.1.2 Facility Schematics	R		Permanent	Business process	

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WATER QUALITY CONTROL DIVISION RECORDS DISPOSITION RATIONALE
Colorado Department of Public Health and Environment
January 2013

Unit/Program: Clean Water					
Record	Copy⁺	Statute/Regulation/ Guidance	Retention Period	Rationale*	Special Instructions
2.1.3 Flood Control Plans	R		Permanent	Business process	
2.1.4 Stormwater Management Plans	R		Permanent	Business process	
2.1.5 Modification Request	R		Permanent	Business process	
2.1.6 Transfer Requests	R		Permanent	Business process	
2.1.7 Termination/ Inactivation Requests	R		Permanent	Business process	
2.2 Permit					
2.2.1 Permit/ Certification (includes General Short-Term Minimal Discharge and Construction Dewatering)	R		Permanent	Business process	
2.2.2 Administrative Extension/ Continuation	R		Permanent	Business process	

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January 2013

Unit/Program: Clean Water					
Record	Copy⁺	Statute/Regulation/ Guidance	Retention Period	Rationale*	Special Instructions
2.2.3 Notice of Authorization (Biosolids/Reuse)	R		Permanent	Business process	
2.2.4 Modifications/Amendments	R		Permanent	Business process	
2.2.5 Rationales/Fact Sheets	R		Permanent	Business process	
2.2.6 Water Quality Assessment Reports	R		Permanent	Business process	
2.2.7 Rainfall Erosivity Waivers (R-waivers)	R		Permanent	Business process	
2.3. Supporting Documentation					
2.3.1 Correspondence					
2.3.1.1 From the Division	R		Permanent	Business process	
2.3.1.2 To the Division	R		Permanent	Business process	

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2.3.2 Change of Personnel, Contact or Address	R		Permanent	Business process	
2.3.3 Supporting Analysis and Calculations	R		Permanent	Business process	
2.3.4 Soils and Solids Data	R		Permanent	Business process	
2.3.5 Reports					
2.3.5.1 Annual Stormwater Reports	R		Permanent	Business process	
2.3.5.2 Discharge Monitoring Report (DMR)	R	EPA Records Schedule 211	(5) years from document date		Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary.
2.3.5.3 Special Reports (Non-Routine Reports Including Compliance Schedule Submittals and Non-Compliance Notifications)	R		Permanent	Business process	

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Unit/Program: Clean Water					
Record	Copy⁺	Statute/Regulation/ Guidance	Retention Period	Rationale*	Special Instructions
2.3.6 Materials Containment Plans	R		Permanent	Business process	
2.3.7 Inspections	R		Permanent	Business process	
2.3.8 Compliance Advisories	R		Permanent	Business process	
2.3.9 Worksheets, Checklists and Other Working Documents	R		Until administrative need ends	Business process	
3. County Files: Documents Related to Clean Water with no Associated Permit or Certification					
3.1 Spill Reports	R		Permanent	Business process	May include the Spills Database report, field investigation records and the 5-Day report

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Unit/Program: Clean Water					
Record	Copy⁺	Statute/Regulation/ Guidance	Retention Period	Rationale*	Special Instructions
4. Other Records					
4.1 Electronic Databases: such as Spills Database, Wastewater Inspection Plans, Raw Data and Calculations used to Write Permits	R		Permanent	Business process	
4.2 Tracking Sheets: such As those Used to Track the Permit Application Process	R		Permanent	Business process	
4.3 401/401 Certification Reviews	R		(7) years from document date	Business process	
4.4 Requests for Records and Responses (Emails, Notes, Facsimiles and Documents Created in Response)	R		(2) years from document date	Business process	

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Record	Copy⁺	Statute/Regulation/ Guidance	Retention Period	Rationale*	Special Instructions
4.4 Requests for Records and Responses (Emails, Notes, Facsimiles and Documents Created in Response)	R	Colorado State Archives Records Management Manual - State Government Agencies Schedule 15 - Public Affairs Records (15-8)	(2) years from document date	Formal requests for records submitted in accordance with state law and supporting documentation relating to the state agency response to or denial of the request.	
4.5 Public Notices	R		Permanent	Business process	
4.6 Map, Drawing, Photograph (or other item that's too big to scan)	R		Until administrative need ends	Business process	
4.7 Notice of Records Destroyed	R		Permanent	Business process	
4.8 Division Generated Notes and Memoranda	R		Permanent	Business process	
<i>No record shall be destroyed that pertains to any pending legal case, claim, action or audit.</i>					

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