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DAQ-014-003: Document Retention Procedure

Revision 1

Effective Date: November 1, 2022



Approval Sign Off-Sheet

I certify that I have read and approve of the contents of the Document Retention Procedure with an effective date of November 1, 2022.

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2.0 Scope and Purpose

To ensure that the ambient monitoring network is operated in a consistent fashion and the department can make informed and accurate responses to any queries, an explicit and robust document retention program is required. It is important for all levels of staff to be able to access documentation relevant to ambient monitoring and that nonrelevant files are removed so that operational choices can be made quickly and without confusion.

This Standard Operating Procedure (SOP) applies to the written documentation used by all members of the Ambient Monitoring Staff (AMS), documentation to be placed on the Laserfiche document management system, any files provided by regional staff to support air monitoring decisions, and any document that would be used to make administrative decisions regarding the North Carolina ambient monitoring program.

This SOP uses the state of North Carolina's functional schedules for files. Files used and created by AMS will be kept for a minimum amount of time set by these functional schedules. Due to the administrative need of the ambient monitoring program, this SOP may require files that fall under the purview of this SOP to be retained longer than legally required. Related functional schedules for AMS files are 1332.A, 124.P, 139.P, 142.A, 533.A, 884.2, 1334.3, 139.3, 142.3, 224.3, 521.2, 521.3, 224.S, 1653.S, 138.3, 131.5, 133.5, 125.R, 533.5. These schedules can be viewed at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>.

3.0 Responsibilities

It is the combined responsibility of AMS that the retention plan is followed. Many files on relating to ambient monitoring activities do not expire until the end of their administrative usefulness or until monitoring at a site has been permanently discontinued. Therefore, once a year AMS members should review files to ensure the 'clock' has been started on documents that have outlived their administrative use. Alternatively, staff can begin the 'clock' for such documents when a new document or revision to a document would supersede it.

To keep this SOP in line with that of the state's functional schedules some files need to be marked by AMS as permanent in Laserfiche (see 1332.A, 124.P, 139.P, 142.A, 533.A). By marking these files permanent, Laserfiche automatically changes the retention schedule from their normal established schedules (see section 4.0).

Regarding the Laserfiche document management system, if an individual AMS member cannot start the 'clock' for a specific file or mark the file as permanent, the Laserfiche Records Custodian should be contacted to complete the process. Before files are deleted, they will be moved to a quarantine area where they can be reviewed by AMS and then deleted. If a file fails to be marked as permanent by AMS when being entered into Laserfiche, when the file is moved to quarantine and reviewed by AMS it will be marked as permanent before being moved back to Laserfiche.

In the event of any litigation, claim, negotiation, audit, or other action involving the records started before the expiration of a file's expiration date, the files involved will be retained until the completion of the action and resolution of all issues that arose or to the expiration date of the files, whichever occurs later.

4.0 Retention Categories

To meet the needs of the ambient monitoring section, the chief established seven groups of files that would each have their own retention plan. The groups are defined below along with their retention plan:

- **Administrative File (Retain 10 years):** These files contain information that led to administrative plans to begin, end, or change a site that were not the results of field testing or data collected at a site. Examples of these files are correspondence between staff or persons outside the division of air quality, bills, data upload forms, EPA TSA Reports, and Service Quotes. These files are important to give staff an insight into decisions made historically.
- **Ambient Documentation File (Retain Permanently):** These files contain documentation on ambient monitoring activities that remain significant to the program indefinitely. Examples of these files are 5-Year Network Assessment, Annual Network Plans, Design Value Maps, and Special Studies. These files are often required by and referenced by NCDQA Staff to answer questions from the public, the EPA, and internal queries within the department.
- **Ambient Monitoring File (Retain until Administrative Use is over plus 5 years):** These files contain ambient monitoring reports and schedules of ambient monitoring activities. Examples of these files are EPA noncontinuous sampling schedules, reports on pollutants, and EPA Response Plans. These files show NCDQA staff a more short-term point of view of ambient monitoring sites across the state.
- **AQS Files (Retain 5 years):** These files contain information generated by the EPA's Air Quality System. Examples of these files are the AMP 251, AMP 600, and AMP 350. These files have been generated from data validated by NCDQA staff and show the results of ambient monitoring activities.
- **Quality Assurance Files (Retain until Administrative Use is over plus 5 years):** These documents contain files that directly deal with quality assurance. Examples are Quality Assurance Project Plans, Standard Operating Procedures, Technical Manuals, and Templates to Forms. These files are the backbone of the air monitoring program and needed for longer periods of time than the typical file.
- **Site File (Retain until the site is shut down plus 5 years):** These files document specific information on the status or condition of a site. Examples of these files are Site Description Reports, Site Photos, and Site Maps. These files are crucial to proving the site was operating when NCDQA said it was operating and that no environmental factor lessened the quality of the site's data.
- **Support File (Retain 5 years):** These files document information used to support the validity of data collected by air monitoring equipment and are created either by the NCDQA or a traceable entity that can reliably verify information about monitoring equipment. Examples of these files are completed elogs, calibration certifications, PEP & NPAP Audits, and Maintenance logs. These files are periodically reviewed by NCDQA staff as well as EPA staff to ensure that data quality was ensured.

5.0 Internal Reporting

The Laserfiche Records Custodian will provide two reports to the ambient monitoring section management team each year. The first report will be of all files that are scheduled to be deleted or destroyed in the next 12 months. The second report will be of all files that were deleted or destroyed in the previous 12 months. The Laserfiche Records Custodian will retain these reports to document record destruction for responding to Freedom of Information Act requests for data or other information that no longer exists due to its exceeding its retention schedule. These reports may be generated more frequently based on AMS needs.

6.0 Training

The chief will ensure that all ambient monitoring employees receive the following training on:

- How to use Laserfiche;
- The State Records Retention Policy regarding Ambient Monitoring;
- The Ambient Monitoring Records Retention Policy;
- The Ambient Monitoring Records Document Indexing Procedures;
- How to scan paper documents for use as a file of record.

The chief will also ensure that the AMS appointed records custodian will receive the following additional training on:

- The responsibilities of a records custodian;
- How to run reports for AMS;
- How to handle quarantined files; and
- How to use additional features assigned in Laserfiche for a records custodian.

7.0 Revision History

The following revisions were made:

Date	Person Revising Document	Revision	Page No.	Approved by/Date
27 Oct. 2022	Joette Steger	All references to IBEAM were removed and the effective date was changed to 1 Nov. 2022, the implementation date of Laserfiche. A new category for Ambient Monitoring Monthly Meeting was added to the Appendices.	All Sections of Document Appendix A and B	

Appendix A: Files Sorted into Retention Categories

Retention Category	Document Type
ADMINISTRATIVE FILE	Data Request Correspondence Billing Address Budgets Contracts Equipment Inventory Grant Applications Insurance Inventory Requests for Exclusions Service Quotes Correspondence EPA QAPP & SOP Approvals EPA TSA Reports Data Update Form Correspondence Ambient Monitoring Workgroup Ambient Monitoring Monthly Meeting
AMBIENT DOCUMENTATION FILE	5-Year Network Assessments Annual Network Monitoring Plans Exceptional Event Data Excl. Requests Design Value Maps Special Project Reports Systems Audit Reports Special Studies Journal Reprints NC Air Monitoring Sites
AMBIENT MONITORING FILE	Biweekly NO2 Reports Biweekly SO2 Reports Daily Polling Report Monthly PM 2.5 Reports EPA Network Plan Response EPA Annual Noncontinuous Sampling Sched. Miscellaneous Annual Reports Trend Reports Weekly Ozone Reports Weekly PM 2.5 Reports
AQS FILE	AQS Monitor Desc. Report (AMP 390) AQS Site Desc. Report (AMP380) AQS AQI Summary (AMP410S)

Retention Category	Document Type
<p style="text-align: center;">AQS FILE</p>	<p style="text-align: center;"> AQS Combined Site Samples (AMP355) AQS Daily Summary Report (AMP435) AQS Data Eval. & Concurrence Rpt (AMP600) AQS Design Value Report (AMP480) AQS P/A Summary Report (AMP256) AQS Quick Look/Criteria Pollut. (AMP450) AQS Quick Look/Noncrit. Pollut. (AMP450NC) Reduced Frequency Dist. Rpt. (AMP260) AMP251 Reports AMP360 Reports Completeness Reports (AMP430) AMP350 Report AMP501 Report AQS AQI (detailed) Report (AMP410) AMP246 Reports AMP247 Reports AMP250 Reports G74 Critical Review Report </p>
<p style="text-align: center;">QUALITY ASSURANCE FILE</p>	<p style="text-align: center;"> QAPPs QMPs SOPs Policy Memoranda MDL Study Results Instrument Manuals Null Code Charts Annual Network Review Form AQ-121 Templates Data Update Form AQ-98 Templates AQ-99 Templates FRM Validation Template Generic Site License Logbook Templates Site Safety Audit Form Startup/Shutdown Forms Statistical Data Report Request Sensor Collocation Request Form Exceedance Report Training Forms Certificates of Completion Documents </p>

Retention Category	Document Type
<p style="text-align: center;">QUALITY ASSURANCE FILE</p>	<p style="text-align: center;"> On-the-job Training Documentation QAPP & SOP Review Certification Training Video Completion Documentation Vendor Training Documentation Videos Webinar Participation Documentation Workshop Attendance Documentation TEOM Seasonal Equations </p>
<p style="text-align: center;">SITE FILE</p>	<p style="text-align: center;"> Lease/Use Agreements Annual Network Review NAMS Hard Copy Site Corr (inc. EPA App. Site Changes) Site Description Reports Site Maps Site Photos Startup/Shutdown Forms </p>
<p style="text-align: center;">SUPPORT FILE</p>	<p style="text-align: center;"> Accuracy/Bias Forms (AQ99) PZS Reports CSN Audit Reports CSN Flow Verification Reports ECB Audit Reports PEP & NPAP Results Precision Forms (AQ98) Site Safety Audit Forms Ambient Standard Certifications Barometer Calibrator Certifications Manometer Orifice Tetralcal Thermometer Zero Air Supply Certifications 109 Forms BAM Background Tests Chain-of-Custody Forms E-log Audit Report E-logs Maintenance Logs EDAS/AirVision Field Blanks & Trip Blanks Monthly Data Reports </p>

Retention Category	Document Type
	PM Filter Data Sheets PM10 (Spreadsheet & Text files)

Appendix B: Laserfiche Organization In Relation to Retention Categories

<u>Template</u>	<u>Doc Group</u>	<u>New Doc Type in Laserfiche</u>	<u>Retention Schedule</u>
Ambient Monitoring	Business Products	5-Year Network Assessments Annual Network Monitoring Plans Exceptional Event Data Excl. Requests Design Value Maps Special Project Reports Systems Audit Reports	Ambient Documentation File Ambient Documentation File Ambient Documentation File Ambient Documentation File Ambient Documentation File Ambient Documentation File
	Data Status Reports	Biweekly NO2 Reports Biweekly SO2 Reports Daily Polling Report Monthly PM 2.5 Reports	Ambient Monitoring File Ambient Monitoring File Ambient Monitoring File Ambient Monitoring File
	Monitoring Station	Annual Network Review AQS Monitor Desc. Report (AMP 390) AQS Site Desc. Report (AMP380) Data Request Correspondence Site Corr (inc. EPA App. Site Changes) EPA Network Plan Response Site Description Reports Site Maps Site Photos Startup/Shutdown Forms	Site File AQS File AQS File Administrative File Site File Ambient Monitoring File Site File Site File Site File Site File
	Quality Assurance	QAPPs QMPs SOPs	Quality Assurance File Quality Assurance File Quality Assurance File
	Bias & Precision	Accuracy/Bias Forms (AQ99) PZS Reports CSN Audit Reports CSN Flow Verification Reports ECB Audit Reports PEP & NPAP Results Precision Forms (AQ98)	Support File Support File Support File Support File Support File Support File Support File
	Business	Billing Address Budgets Contracts Equipment Inventory Grant Applications Insurance Inventory Lease/Use Agreements Requests for Exclusions	Administrative File Administrative File Administrative File Administrative File Administrative File Administrative File Site File Administrative File

<u>Template</u>	<u>Doc Group</u>	<u>New Doc Type in Laserfiche</u>	<u>Retention Schedule</u>
		Service Quotes Site Safety Audit Forms	Administrative File Support File
	Certification Documents	Ambient Standard Certifications Barometer Calibrator Certifications Manometer Orifice Tetracal Thermometer Zero Air Supply Certifications	Support File Support File Support File Support File Support File Support File Support File
	Data Summary	AQS AQI Summary (AMP410S) AQS Combined Site Samples (AMP355) AQS Daily Summary Report (AMP435) AQS Data Eval. & Concurrence Rpt (AMP600) AQS Design Value Report (AMP480) AQS P/A Summary Report (AMP256) AQS Quick Look/Criteria Pollut. (AMP450) AQS Quick Look/Noncrit. Pollut. (AMP450NC) Reduced Frequency Dist. Rpt. (AMP260)	AQS File AQS File AQS File AQS File AQS File AQS File AQS File AQS File AQS File
	QA Correspondence	Correspondence EPA QAPP & SOP Approvals EPA TSA Reports Policy Memoranda	Administrative File Administrative File Administrative File Quality Assurance File
	QA Miscellaneous Documents	109 Forms BAM Background Tests Chain-of-Custody Forms E-log Audit Report E-logs EPA Annual Noncontinuous Sampling Sched. Maintenance Logs MDL Study Results	Support File Support File Support File Support File Support File Ambient Monitoring File Support File Quality Assurance File
	QA Reports	AMP251 Reports AMP360 Reports Completeness Reports (AMP430) Data Update Form G74 Critical Review Report	AQS File AQS File AQS File Ambient Monitoring File AQS File

<u>Template</u>	<u>Doc Group</u>	<u>New Doc Type in Laserfiche</u>	<u>Retention Schedule</u>
	Raw Data	AMP350 Report AMP501 Report AQS AQI (detailed) Report (AMP410) EDAS/AirVision Field Blanks & Trip Blanks Monthly Data Reports PM Filter Data Sheets PM10 (Spreadsheet & Text files)	AQS File AQS File AQS File Support File Support File Support File Support File Support File
	Reference Materials	Instrument Manuals Journal Reprints Miscellaneous Null Code Charts Special Studies	Quality Assurance File Ambient Documentation File Ambient Monitoring File Quality Assurance File Ambient Documentation File
	Sensors	Correspondence	Administrative File
	Templates	Annual Network Review Form AQ-121 Templates Data Update Form AQ-98 Templates AQ-99 Templates FRM Validation Template Generic Site License Logbook Templates Site Safety Audit Form Startup/Shutdown Forms Statistical Data Report Request Sensor Collocation Request Form Exceedance Report Training Forms	Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File
	Training	Certificates of Completion Documents On-the-job Training Documentation QAPP & SOP Review Certification Training Video Completion Documentation Vendor Training Documentation Videos Webinar Participation Documentation Workshop Attendance Documentation	Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File Quality Assurance File
	Archive	Annual Reports Trend Reports Weekly Ozone Reports Weekly PM 2.5 Reports	Ambient Monitoring File Ambient Monitoring File Ambient Monitoring File Ambient Monitoring File

<u>Template</u>	<u>Doc Group</u>	<u>New Doc Type in Laserfiche</u>	<u>Retention Schedule</u>
		NAMS Hard Copy NC Air Monitoring Sites TEOM Seasonal Equations AMP246 Reports AMP247 Reports AMP250 Reports	Site File Ambient Documentation File Quality Assurance File AQS File AQS File AQS File
	Workgroup Notes Meeting Notes	Ambient Monitoring Workgroup Ambient Monitoring Monthly Meeting	Administrative File Administrative File