DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

ROY COOPER
Governor
DIONNE DELLA-GATTI
Secretary
MICHAEL A. ABRACZINSKAS
Director

NORTH CAROLINA
Environmental Quality

DAQ-014-003: Document Retention Procedure

Revision 0

Effective Date: April 1, 2021

NORTH CAROLINA
Department of Environmental Quality

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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 April 1, 2021.

Primary Standard Operating Procedure Author
Jeremy Pope, Environmental Chemist

Signature: DocuSigned by: Jeremy Pope 6CB642D69CB24F5... Date: 3/17/2021

Projects and Procedures Branch Supervisor
Joette Steger

Signature: DocuSigned by: B278F8186CEC4DC... Date: 3/17/2021

Laboratory Analysis Branch Supervisor
Jim Bowyer

Signature: DocuSigned by: Jim Bowyer C96894826C9B41D... Date: 3/18/2021

Ambient Monitoring Section Chief
Patrick Butler

Signature: DocuSigned by: Patrick Butler 4290A7E2D2A0429... Date: 3/18/2021

Director of Air Quality
Michael Abraczinskas

Signature: DocuSigned by: Michael Abraczinskas D5013FED0218423... Date: 3/18/2021

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

1.0 Table of Contents

Approval Sign Off-Sheet 2
2.0 Scope and Purpose 4
3.0 Responsibilities 5
4.0 Retention Categories 6
5.0 Internal Reporting 7
6.0 Training 8
7.0 Revision History 9
Appendix A: Files Sorted into Retention Categories 10
Appendix B: Laserfiche Organization In Relation to Retention Categories 14

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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 state of North Carolina's IBEAM, 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 then 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/retention-schedules/state-agency-schedules/functional-schedule-north-carolina-state-0.

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

3.0 Responsibilities

It is the combined responsibly 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 AQS.

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.

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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 NCDAQ 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 NCDAQ 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 390, AMP 600, and AMP 350. These files have been generated from data validated by NCDAQ 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 NCDAQ 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 NCDAQ 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 NCDAQ staff as well as EPA staff to ensure that data quality was ensured.

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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.

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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 in regard to Ambient Monitoring;
- The Ambient Monitoring Records Retention Policy;
- The Ambient Monitoring Records Document Indexing Procedures;
- How to use IBeam (until it is discontinued as a file repository);
- 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;
- How to use additional features assigned in Laserfiche for a records custodian.
- Any additional features assigned in IBeam for a records custodian (until IBeam is discontinued as a file repository).

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

7.0 Revision History

This SOP is a new SOP so there is no revision history at this time.

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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 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) AQS Combined Site Samples (AMP355)

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

Retention Category	Document Type
AQS FILE	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
QUALITY ASSURANCE FILE	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 On-the-job Training Documentation

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

Retention Category	Document Type
QUALITY ASSURANCE FILE	QAPP & SOP Review Certification Training Video Completion Documentation Vendor Training Documentation Videos Webinar Participation Documentation Workshop Attendance Documentation TEOM Seasonal Equations
SITE FILE	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
SUPPORT FILE	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 Tetracal 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 PM Filter Data Sheets

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

Retention Category	Document Type
	PM10 (Spreadsheet & Text files)

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

Appendix B: Laserfiche Organization In Relation to Retention Categories

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

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

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

DocuSign Envelope ID: 24D43640-0572-4606-960D-26C3E7AEDFD2

Template	***Doc_Group***	***New Doc_Type in Laserfiche***	***Retention Schedule***
		NAMS Hard Copy	Site File
		NC Air Monitoring Sites	Ambient Documentation File
		TEOM Seasonal Equations	Quality Assurance File
		AMP246 Reports	AQS File
		AMP247 Reports	AQS File
		AMP250 Reports	AQS File
	Workgroup Notes	Ambient Monitoring Workgroup	Administrative File