

Note: For all record series containing electronic data/ records that the Office of Water Resources (OWR) has designated as its official record, including audio, moving images, photographic, textual records, and emails: Retain all documentation of hardware and software for the life of the system. In the event hardware, software or system is updated, upgraded, or replaced, retain old data, documentation, and software for one (1) year after successful testing of system and verification of data to ensure continuing accuracy, integrity, retrievability, and usability/ readability of records through all changes and to the end of their specified retention period.

Note: Files with a permanent retention requirement that are no longer needed for programmatic work may be eligible for transfer to the Rhode Island State Archives.

DEM6 Office of Water Resources (OWR)

The OWR is responsible for ensuring that Rhode Island's rivers, lakes, and coastal waters can support healthy communities of fish, plants, and other aquatic life, and also support human uses such as fishing, swimming, and drinking water. The Office is also responsible for preventing groundwater contamination and protecting and rehabilitating the state's wetlands to provide wildlife habitat, reduce floods, and improve water quality, and finally, to protect public health from the adverse impacts of water pollution. The Office establishes water quality standards for the state's waters, and monitors, assesses, and reports on water quality conditions, identifies impaired waters, and develops abatement and restoration studies. The OWR monitors compliance with federal and state requirements, and participates in enforcement.

Amended submittals (Applicable to Record Series 6.1 through 6.18)

Unless other retention requirements are listed herein, draft versions of records submitted to the OWR contained in DEM6.1 through DEM6.18 must be retained until receipt of the final version of the record.

DEM6.1 Total Maximum Daily Load (TDML) Program

Under the federal Clean Water Act, states are required to develop waterbody/watershed specific restoration studies to strategically assess water quality in order to characterize conditions and to identify pollution sources, and pollution abatement activities necessary to restore water quality. These studies are known as Total Maximum Daily Load (TMDL). A TMDL is a calculation of the maximum amount of a pollutant that a body of water can receive and still safely meet water quality standards set for it.

DEM6.1.1 Total Maximum Daily Load Development Records

Records in this series include scientific and/or technical documentation developed in support of the TMDL. These records include water quality monitoring data, computer modeling information, and other technical information including, but not limited to monitoring plans, quality assurance plans, data reports, including sampling reports, TMDL approach documentation, laboratory test results, chain of custody forms, field notes, and technical reports (e.g. Fish Kill, Runnins River Steering Committee, 2006 Pawcatuck Shoreline Survey Study.) The records are organized by individual body of water.

a) Final TMDL documents and reports related to modeling and monitoring, QAPPs (Quality Assurance Project Plans)

Retention: Retain three (3) years after record is superseded.

b) Correspondence, meeting notes, memos to the file

Retention: Retain ten (10) years from EPA approval of Final Report. (See DEM6.1.2)

DEM6.1.2 TMDL Reports

The records in this series include preliminary draft TMDLs submitted to EPA for review or submitted for public comment, public comments received, final TMDL reports, submittal letters to EPA, EPA Approval and notification letters and announcements sent to stakeholders and responsible parties. This series also includes all public workshop records, i.e., not meetings of a public body subject to the Open Meetings Act.

a) Final TMDL Report

Retention: Permanent.

b) Draft reports sent to EPA for public comment, public notice drafts, and all other records

Retention: Retain ten (10) years from EPA approval.

DEM6.1.3 TMDL Contracts and/or Grants

Records in this series include contracts, purchase orders, and invoices for any consultant services.

a). Records retained exclusively by DEM

Retention: Retain ten (10) years.

b) Copies of records transmitted to financial authority

Retention: Retain seven (7) years.

c) Small purchases (established legal/regulatory maximum)

Retention: Retain three (3) years.

Note: See also GRS8.10.3.

DEM6.2 Shellfish Water Program

The OWR is responsible for the survey and classification of the state's marine waters for molluscan shellfish harvesting.

DEM6.2.1 Affidavits of Shellfish Closure Records and Emergency Closure Records

Records in this series include signed affidavits of closures, legal description of closed areas, the time period of closure, and back-up documentation of the reason (s) for conditional closure, including narrative descriptions, data, and maps.

Retention: Retain five (5) years.

DEM6.2.2 Annual Shellfish Growing Area Classification Records

Records in this series include the identification of actual or potential pollution sources. The classification documentation includes hydrographic and meteorological information, water quality studies, sampling plans and justifications, data analysis and presentation, and tables containing basic National Shellfish Sanitation Program statistics (number of samples, median or geometric mean, and the respective variability facts). Also included are summaries and evaluations of available water quality and pollution source data collected by “non-shellfish program” entities. Finally, the records may also include statistical analysis of fecal coliform bacteria results of all classified shellfish waters of the state as well as historical shellfish classification maps showing areas closed to shellfish harvesting going back to 1946.

Retention: Permanent.

DEM6.2.3 Shellfish Monitoring Records, Lab Reports, and Field Sheets

Records in this series include lab reports received from Department of Health labs and field sheets from ambient monitoring runs.

Retention: Retain five (5) years.

DEM6.2.4 Program Establishment and Development Records

Records in this series include Memoranda of Understanding and agreements between DEM and other jurisdictions – other state agencies and the federal government – outlining the program’s responsibilities. Also included are Standard Operating Procedures describing the OWR Shellfish Program’s program responsibilities, procedures, and protocol.

Retention: Permanent.
(As per GRS1.2 Program Establishment and Development Records)

DEM6.3 Rhode Island Pollutant Discharge Elimination System Program (RIPDES)

A principal component of the state’s water pollution control strategy is the development and enforcement of permit limitations for municipal and industrial wastewaters, storm water, and combined sewer overflows discharged directly to the waters of the state, as well as industrial wastewaters discharged to public, municipally owned treatment facilities. The RIPDES program is responsible for the development and enforcement of permit limitations.

DEM6.3.1 Rhode Island Pollutant Discharge Elimination System Program Permits (RIPDES)

This series documents the permitting process. The records in permit files may include, but are not limited to, permit applications and notices of intent (NOIs), inspections reports, photographs, draft permits sent to the applicant for review, development documents describing the assignment of permit limits, water quality calculations, correspondence, meeting attendance sheets, meeting summaries, public notice permit drafts, public notices, public hearing exhibits and transcripts, final permits and consent agreements, permit modifications, and engineering reports submitted by facilities, informal enforcement actions, and priority pollutant monitoring reports.

The records may also include facilities' pre-treatment documentation, including annual reports, enforcement response plans, local limit monitoring plans, modification requests, pretreatment inspection/audit reports, pretreatment program documentation, technically based local limit development reports, enforcement response plans, engineering reports that form part of the permit file records, copies of EPA required Discharge Monitoring Reports

(See DEM6.3.3), User Fee Program results (contaminant testing), bioassay reports, photographs, water quality calculations, correspondence, meeting attendance sheets, meeting summaries, public notice permit drafts, public notices, public hearing exhibits and transcripts, consent agreements (which give facilities a compliance schedule and interim limits), and final permits.

Note: Public hearings relate to permits and are not meetings of a body subject to the Open Meetings Act.

a) Major Individual Final Permits, Final Consent Agreements, Final Modifications, and Landmark Case Files

Retention: Permanent.

b) All other records

Retention: Retain ten (10) years after permit termination or renewal.

Note: The distinction in the RIPDES Program between major and minor permits is based on a rating form wherein one of the most important factors is daily discharge flow. Facilities with daily flows greater than one million gallons per day are typically classified as major permits.

DEM6.3.2 RIPDES Permit Enforcement Files

This series includes documentation related to the enforcement of pollution discharge permit compliance. It includes copies of OWR referrals to RIDEM's Office of Compliance and Inspection (OC&I) for formal enforcement actions such as Notices of Violation with Penalty (NOVs), copies of NOVs from OC&I (see records retention schedule for Office of Compliance and Inspection (DEM5)), and copies of consent agreements from OC&I. The records also include data entered into the federal Environmental Protection Agency's Integrated Compliance Information System (ICIS – a secure system only available to EPA and state users), documentation of overrides, fixes, and documentation to support enforcement actions.

a) Administrative case files, whether a formal enforcement action is initiated or not

Retention: Retain ten (10) years after closure of enforcement case.

Note: Data in ICIS is kept permanently by EPA.

b) Judicial case files where routine legal actions are required

Retention: Retain twenty (20) years after closure of enforcement case.
(Per EPA schedule 207)

c) Landmark or precedent cases

Retention: Permanent.

DEM6.3.3 Discharge Monitoring Reports (DMRs)

RIPDES (in accordance with EPA regulations) requires permitted entities to self-report on their effluent data. The records in this series include permittees' DMRs. DMRs are entered into the EPA's Integrated Compliance Information System (ICIS). This series also includes documentation related to RIDEM's subscription to the EPA's Cross-Media Electronic Reporting Regulation (CROMERR). States need to complete a CROMERR application form in order to become eligible to participate in the EPA's recently implemented NetDMR. NetDMR is a Web-based tool that allows NPDES (National Discharge Pollution Elimination System) permittees to electronically sign and submit their DMRs directly into EPA's ICIS while also allowing OWR to access this data. Also included in this series are NetDMR subscriber agreements which must be completed by permittees in order to use the NetDMR tool.

a) DMR data

Retention: Retain ten (10) years, or until effluent data is stored in EPA electronic database and accuracy is verified, whichever is longer.

b) NetDMR Subscriber Agreements

Retention: Retain five (5) years after the associated electronic signature device has been deactivated, per CROMERR requirements.

c) Final CROMERR application and approval documents

Retention: Retain until superseded.

d) Draft CROMERR application and correspondence related to draft application

Retention: Retain until receipt of final application and approval.

DEM6.3.4 DEM State Delegation Authority and Primacy Application Records

To obtain state primacy status, DEM must demonstrate that it meets certain EPA requirements. This series contains documentation for and approval of delegation/primacy status for the RIPDES Program (Clean Water Act, 40 CFR part 123), see DEM6.3.1 – DEM 6.3.3), Underground Injection Control (UIC) Program (Safe Drinking Water Act, 40 CFR Part 145), (see DEM6.8.4), and Water Quality Certification Program (Clean Water Act, 40 CFR Part 131), (see DEM6.12).

a) Final application and materials that clarify interpretation of the application and EPA approval

Retention: Permanent.

b) Pending application and other supporting materials

Retention: Retain until EPA final decision in effect.

DEM6.4 Wastewater Treatment Facility Operations and Maintenance Program

The DEM Operations and Maintenance Section (O&M) inspects and monitors wastewater facilities and their laboratories to ensure compliance with permit requirements and approved O&M manuals. The O&M Program also oversees operations involving the production, treatment, and disposal of sewage sludge, and the licensure of wastewater treatment operators.

DEM6.4.1 Wastewater Treatment Facility Files

The records in this series include facility engineering plans, correspondence with wastewater utilities, internal memos, reports, inspection findings, and similar documents.

a) Approved engineering plans (drawings)

Retention: Retain until superseded.

b) All other records

Retention: Retain ten (10) years.

DEM6.4.2 Facility Operations and Maintenance Manuals (Plans)

The records in this series include drafts and approved wastewater treatment facility manuals prepared by individual facilities (or their representatives) and submitted to the O&M Section for approval.

a) Final O&M manual

Retention: Retain three (3) years after superseded.

b) Draft O&M manual

Retention: Retain until approval of final O&M manual.

DEM6.4.3 Sewage Sanitary Overflow (SSO) Records

An SSO is an intentional or unintentional discharge of wastewater from any point within a facility's collection system. The records in this series include documentation and information related to any Sanitary Sewer Overflow (SSO). SSO records may contain information and documentation from complainants, the facility, and documents produced by the O&M Section as part of its investigation of the SSO. The O&M Section also maintains an electronic database of all reported SSOs.

Retention: Retain five (5) years.

DEM6.4.4 Monthly Operating Reports (MORs)

The records in this series include reports submitted monthly by facilities that document operating and testing data and other information.

Retention: Retain five (5) years.

DEM6.4.5 Sludge Program Files

This series includes documentation and information on sludge management for every individual wastewater treatment facility located in Rhode Island, as well as any person, facility or site, in-state and out-of-state, that treats, transports, distributes, stockpiles or

disposes of sewage sludge in Rhode Island. This series includes Rules and Regulations for Sludge Management.

The records in each Order of Approval facility file include, but are not limited to, correspondence, inspection reports, complaints, Orders of Approvals and Applications for Orders of Approvals (application forms, correspondence, investigation plans, management plans, O&M manuals, site plans, radius plans, cross section plans, closure plans, sludge quality data, soil descriptions, groundwater surveys and samples, variance requests, public notice and hearing documents, denials and administrative hearing files), reports (analytical data, incineration reports, and distribution reports), sludge volumes, enforcement actions (Notices of Deficiency and/or Notices of Violation). Orders of Approval remain valid until they are suspended or revoked. Files also include documents related to the development of Sewage Sludge Management Regulations (present and past).

a) Orders of Approval and Order of Approval application files

Retention: Retain five (5) years after the Order of Approval becomes invalid.

b) Rules and regulations files

Retention: Permanent.
(As per GRS2.5 Rulemaking Files.)

c) Enforcement Actions

Retention: Retain seven (7) years after close of enforcement case.

d) Sludge Volumes and all other records

Retention: Retain five (5) years.

DEM6.4.6 Operator Certification Program Records

Individuals engaged in the operation of municipal wastewater treatment facilities in Rhode Island must be certified by the Board of Certification of Operators of Wastewater Treatment Facilities. The OWR's Operations and Maintenance Section provides administrative support and record keeping for the Board.

The records in this series include administrative, licensee, and exam files. The administrative files include records of the Board, including all minutes and correspondence. May also include training course approval files, which may include applications for training course approvals, records of training attendance, and other records related to training needs. Licensee files contain information related to the licensure history of individual operators. Included in the latter are original applications for licensure and copies of correspondence to and from the Board, with the latter including copies of notices for renewal, notices of exam results, copies of issued certificates/licenses, and all other correspondence, notes, or memos

related to the individual's license history. Operators' certifications must be renewed annually. (RIGL § 42-17.4)

Finally, exam files contain examination booklets, answer sheets, and any copies that may later be made for use in post-exam examinee reviews.

a) Operator certification administrative files

Retention: Retain five (5) years.

b) Licensee files

Retention: Retain ten (10) years after expiration.

c) Exam files

Retention: Retain one (1) year after exam date.

d) Meeting minutes

Retention: Permanent.
(As per GRS1.7 Meeting Minutes.)

DEM6.4.7 Operator Training Records

The records in this series include information related to courses offered by the Office as well as records of third-party courses taken by wastewater licensees.

Retention: Retain three (3) years.

DEM6.4.8 Discharge Monitoring Reports – Quality Assurance (DMRQA) Study Files

Under the EPA National Pollutant Discharge Elimination System (NPDES) program, permittees are required to participate in the annual Discharge Monitoring Report–Quality Assurance (DMR-QA) study program. The DMR-QA study is a test of individual wastewater treatment facility laboratories' ability to perform analytical testing on various parameters and pollutants. The records in this series include files related to the administration of the annual DMRQA study. The files include study documents from EPA, testing reports for each facility, and correspondence.

Retention: Retain five (5) years.

DEM6.5 Wastewater Facility Planning and Design Program

This program regulates the construction and modification of wastewater treatment facilities and wastewater collection systems.

DEM6.5.1 Order of Approval Files

The records in this series include engineering plans (drawings) and specifications, supporting scientific and engineering analyses, calculations and computations, descriptions, application forms, application fee forms and applicable review fees. The records in this series also include documents generated by RIDEM and received by RIDEM during the review.

Documentation is deemed to be final after it is found to be, and approved as acceptable as the basis for the engineering design and construction plans.

a) Approved engineering plans (drawings), approved specifications, approved design calculations, approved supporting documentation (data and scientific analyses and design calculations) and Orders of Approval

Retention: Retain five (5) years after superseded.

b) Other final documents

Retention: Retain five (5) years.

Note: See Note under DEM6, page 1.

DEM6.5.2 Wastewater Facilities Plans, Findings of No Significant Impact, and Engineering Reports

This series relates to the approval of municipalities', wastewater commissions' and sewer authorities' wastewater facilities plans, engineering reports, and Findings of No Significant Impact (FONSI). FONSI refers to environmental assessments that a project will not have a significant impact on the human environment. Wastewater facilities plans are (currently) 20-year planning documents.

a) Approved Wastewater Facilities Plans, FONSI

Retention: Retain twenty (20) years, or five (5) years after superseded, whichever occurs first.

b) Other final documents

Retention: Retain five (5) years.

Note: See Note under DEM6, page 1.

DEM6.6 Surface Water Quality Program

This program maintains records associated with the Water Quality Regulations, water quality standards and criteria, and ambient surface water monitoring. Water Quality Standards define the goals for a water body by designating its uses, setting criteria to protect those uses, and establishing provisions to protect water quality from pollution. In addition, RIDEM conducts ambient water quality monitoring and has developed a Water Monitoring Strategy.

DEM6.6.1 Water Quality Standards Records

The records in this series include DEM memos, notes, and state criteria development documentation, correspondence with the Department of Health's laboratory and other agencies regarding detection limits and quantitation levels for various parameters, and maps depicting water quality standards and criteria. This series also includes copies of federal EPA Criteria, Standards, Regulations, Policies and Guidance.

a) State water quality standards development records

Retention: Retain twenty (20) years.

b) EPA water quality standards and criteria guidance documents, EPA policies, and EPA regulations

Retention: Retain ten (10) years or until no longer needed for administrative purposes, whichever occurs later.

DEM6.6.2 Surface Water Quality Monitoring Records

The records in this series include the OWR's Water Monitoring Strategy as well as a wide range of materials that document the implementation of the strategy. These records include, but are not limited to, measurement and sampling records from various lakes/ponds, and rivers/streams, station location maps and other records documenting the locations from which monitoring and sampling data was collected, historical monitoring reports, data funding agreements and contracts for services, quality assurance plans, cooperative agreements for services pertaining to monitoring programs. Also included may be monitoring project self-assessment forms. The series also includes Final Reports – Basin Reports, Technical Reports, and Final Annual Sampling location lists. In addition, the records include correspondence with the Department of Health's State Health laboratories regarding analysis of water monitoring data.

In addition, the OWR also stores water quality data in a number of electronic databases. The OWR also stores electronic and paper records provided by contractors or other outside parties, including the EPA (e.g. cyanobacteria data), fish tissue sampling station information and data results, and electronic data files for the fixed-site network stations including metadata.

a) Working documents

Retention: Retain five (5) years, or until no longer required for administrative purposes, whichever is later.

b) Water quality data, final reports, and metadata

Retention: Permanent.

c) Water monitoring strategy

Retention: Permanent.

d) All other records

Retention: Retain fifty (50) years.

DEM6.6.3 Surface Water Quality Assessment Program Records

Section 305(b) of the federal Clean Water Act (CWA) requires states to assess the health of their surface waters, and to submit biennial reports describing water quality conditions. Water quality conditions are determined by evaluating water data relative to established water quality standards and criteria, as described in the Water Quality Regulations.

The methodology utilized to assess water quality conditions must be documented in the state's Consolidated Assessment and Listing Methodology document (CALM), which is updated each assessment cycle as needed. Based on the assessment and listing methodology, each water body is placed into assessment categories/lists, called the Integrated Lists, which includes the Section 303(d) List of Impaired Waters. (See DEM6.6.4.)

The records in this series include federal guidance documents for conducting water quality assessments and generating the Consolidated Assessment and Listing Methodology (CALM) and Integrated Water Quality Monitoring and Assessment Reports (Integrated Report and Integrated Lists). The records also include final OWR Integrated Reports and CALM documentation as well as historical water quality assessment reports (Section 305b), State of the State's Waters Reports), and hardcopy assessment files for each water body tracked in the assessment process.

OWR maintains and utilizes a copy of the federal EPA's Assessment Database (ADB) to house the state's biennial water quality assessment information. The ADB is a relational database application for tracking and reporting water quality assessment data, including use attainment, and causes and sources of impairment. ADB Net is an EPA developed online database that tracks state water quality assessments. These assessments are prepared under guidance provided by the US EPA under Section 305b of the Clean Water Act.

a) Water Quality Assessment Reports/Integrated Report and Lists/CALM records

Retention: Permanent.

b) Assessment database data

Retention: Permanent.

c) All other records

Retention: Retain twenty (20) years.

DEM6.6.4 Clean Water Act Section 303(d) Impaired Waters List

Section 303(d) of the CWA requires states to develop a list of waters that do not meet water quality standards. The records in this series include draft 303(d) Lists and documentation and development notes, correspondence with EPA on drafts and the Final List, workshop notifications, presentations, and comments received from EPA and the public, final 303(d)

Lists, final De-Listing justification documentation, Final Response to Comments, and mailing lists for draft and final documents.

a) Workshop notification, presentations, and mailing lists

Retention: Retain ten (10) years.

b) Draft 303(d) list, final list, delisting documents, EPA comments, and responses

Retention: Permanent.

DEM6.7 Financial Assistance Programs

The OWR is responsible for the administration of several financing programs related to water quality.

DEM6.7.1 Water Quality Financial Assistance Programs – Grant Records

The records in this series include OWR State and Federal Grant files, and other documentation related to grant administration and award.

a) Grant applications and amendments, final performance, disposition and expenditure reports

Retention: Permanent.

Note: See also GRS1.18a.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

Note: See also GRS1.18b.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

Note: See also GRS1.18c.

d) Income transaction records (earning of income) after grant support where required by the terms of the grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

Note: See also GRS1.18d.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: See also GRS1.18e

NOTE: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL § 9-1-17).

Note: Sec. 6.7.2 State Revolving Fund Records, Sec. 6.9.1 Nonpoint Pollution Source (NPS) Program Management Records, and Sec. 6.17.1 Lake, Pond and Reservoir Monitoring Records also contain references to grants, however, those sections have been maintained elsewhere in the schedule, rather than DEM6.7.1, either because the records relate to programmatic functions rather than to administrative functions, or because those sections also contain references to documents which are not grant related.

DEM6.7.2 Clean Water State Revolving Fund Records (CWSRF)

The CWSRF state loan program provides low cost loan assistance to finance eligible local government projects related to waste water management and the protection of the state's water resources. A project cannot receive funding from the CWSRF program unless it is on the OWR's approved Project Priority List and is issued a Certificate of Approval by OWR. The RI Infrastructure Bank (formerly the Clean Water Finance Agency) administers the loaning of funds for approved projects.

The records in this series include annual Project Priority Lists and priority list hearing records. The series also includes individual project application files. Records may include, but are not limited to, letters of intent, individual project Certificate of Approval application files, an estimate of all costs relating to the project, project description and schedule as well as loan reimbursement records, individual project construction inspection reports, environmental review plans, and cost reimbursement files. This series includes documentation of EPA Capitalization Grant requirements, including annual program review files.

Finally, this series also includes records related to the Clean Watersheds Needs Survey (CWNS), which is a federally required quadrennial survey of water pollution abatement needs within the state. The CWNS is a planning tool used to determine each state's allotment of the annual CWSRF appropriation from Congress.

a) Priority Determination Criteria List

Retention: Permanent.

b) Project Priority List Hearings and Comment Records

Retention: Permanent.

c) DEM Project Priority Lists

Retention: Permanent.

d) Individual Project Priority Application Files

Retention: Retain three (3) years.

e) DEM Interdepartmental Memoranda of Understanding

Retention: Permanent.

f) EPA Requirements Documentation

Retention: Retain twenty (20) years.

g) Clean Watersheds Needs Survey Records

Retention: Retain ten (10) years.

h) Loan reimbursement records, cost reimbursement records, and any other financial records not covered by a) through g) above.

Retention: Retain through the end of the amortization period, or ten (10) years, whichever is longer.

DEM6.8 Groundwater Protection Program

The Groundwater Protection Act (§ RIGL 46-13.1) designates the Department of Environmental Management as the state agency that is responsible for the protection of the state's groundwater from contamination and degradation, and for establishing a program that ensures that polluted groundwater meets established criteria.

The OWR administers two programs to regulate discharges to groundwater: the Groundwater Discharge Program, which includes activities formerly managed under the Underground Injection Control (UIC) Program and the Groundwater Certification Program, which regulates the discharge to, or above the ground surface of commercial and industrial wastewater and other fluids that have the potential to contaminate the state's groundwater resources.

The OWR also administers the DEM Groundwater Quality Rules, which establish classification, prohibitions and general requirements for groundwater protection, including wellhead protection area delineation.

Note: The DEM Office of Waste Management also administers several programs to regulate existing and potential sources of groundwater contamination (e.g., underground storage tanks, solid waste facilities, and sites undergoing groundwater remediation). See records retention schedule DEM11 Office of Waste Management.

DEM6.8.1 Groundwater Classification and Standards Records

The records in this series include materials associated with rule development and periodic updates, including all required Administrative Procedures Act requirements, maps of delineations of groundwater classification and wellhead protection areas along with files and reports supporting the delineations. It also includes a second set of files related to Re-Classification Request Files.

a) Groundwater Quality Rule Records (including all related maps)

Retention: Permanent.

Note: See GRS2.5

b) Groundwater Re-Classification Request File Records

Retention: Permanent.

DEM6.8.2 Groundwater Discharge Application Records and Reports

The records in this series relate to the implementation of the groundwater discharge rules. The records include applications for registrations and approvals, applications for modifications of registrations or approvals, and individual registrations and approvals issued for groundwater or stormwater discharges. The records also include notifications submitted for construction and installation of groundwater discharge systems, commencement of operation of a discharge, temporary cessation of a discharge, transfer of ownership, and

termination of registered discharges. Information submitted to OWR by the facilities to support applications include Material Safety Data Sheets, facility and discharge system engineering plans, analytical data from effluent or groundwater quality monitoring, either in the form of a one-time event or continually as required for the life of the approval, and photographs and reports required upon final closure of a groundwater discharge system.

This series also includes OWR staff reports of inspections performed for final system closure, or to ensure compliance at regulated facilities and at facilities with unauthorized groundwater discharges. Additional records include Letters of Deficiency issued to a facility and copies of Notices of Intent to Enforce, Notices of Violation, Consent Agreements, Penalty Assessments and related correspondence issued to groundwater discharge program facilities from the RIDEM Office of Compliance & Inspection.

Retention: Permanent.

DEM6.8.3 Non-Groundwater Discharge Permit Application Files

The records in this series include the OWR groundwater program's review files for projects not requiring a groundwater discharge permit but which must nevertheless demonstrate compliance with the Groundwater Quality Rules (e.g., large onsite wastewater treatment systems, upland dredge disposal projects). The records include applications, site plans, site information, correspondence, and any other required supporting documentation, as well as final DEM determination documentation.

Retention: Permanent.

DEM6.8.4 Underground Injection Control (UIC) Records

The records in this series include permit applications received, permit approvals issued, closures performed, site inspections performed, monitoring compliance evaluations, facility evaluations, and federal reporting forms.

- a) **Permit records, including landmark permit records:** permit applications, permit approvals, closure records, site inspection records, facility evaluations

Retention: Permanent.

- b) **Monitoring compliance evaluations, federal reporting forms, and all other records**

Retention: Retain ten (10) years.

DEM6.8.5 Municipal Program Assistance Records

The records in this series include files documenting DEM assistance in local municipal groundwater protection efforts. The records include meeting notes and correspondence as well as reviews of local ordinances and local comprehensive plans.

Retention: Retain ten (10) years.

DEM6.8.6 Water Supply System Management Plan Review Records

Under state law, all large drinking water suppliers and distributors must submit Water Supply System Management Plans to the RI Water Resources Board every five years. OWR reviews and provides the Board with comments on the plans, as required by statute. The records in this series include Water Supply System Management Plans and all supporting documentation, as well as DEM review files and correspondence.

a) RIDEM review notes and files

Retention: Retain ten (10) years.

b) Water Supply Management Plans (WSMPs)

Retention: Retain latest revision, or ten (10) years, whichever occurs first.

Note: The RI Water Resources Board retains a permanent record of this material. See Water Resources Board records retention schedule WRB3 Public Water Systems Records.

DEM6.8.7 Bottled Water Program Records

The records in this series include communications with property owners, the Department of Health, and bottled water suppliers. The records also include interdepartmental correspondence related to contamination events, and analytical test results of private wells, as well as monthly billing statements of supplied water.

a) Nonsubstantive executive correspondence and memoranda requiring no response

Retention: Retain three (3) years.

Note: See GRS1.1b.

b) All other executive correspondence and memoranda

Retention: Permanent.

Note: See GRS1.1a.

c) General correspondence and memoranda

Retention: Retain three (3) years.

Note: See GRS5.1.

d) Financial records related to contracts that are retained exclusively by agency

Retention: Retain ten (10) years.

Note: See GRS8.10.3a.

e) Copies of financial records related to contracts that are transmitted to financial authority

Retention: Retain seven (7) years.

Note: See GRS8.10.3b.

f) Financial records (related to contracts) that involve small purchases (established legal/regulatory maximum)

Retention: Retain three (3) years.

Note: See GRS8.10.3c.

DEM6.8.8 Wellhead Protection Program Files

Groundwater provides an important source of drinking water. A wellhead protection area (WHPA) is the portion of an aquifer through which groundwater will move toward and reach a well. DEM is responsible for delineating a WHPA for each public well in the state. The records in this series include records that relate to OWR's development of wellhead

protection area delineation maps for those wells designated by the Department of Health as sources, or potential sources, of public drinking water.

Retention: Permanent.

DEM6.8.9 Groundwater Protection Project Records

The records in this series include files related to projects initiated by DEM to study groundwater resources, or to determine sources of contamination. Records include site plans, groundwater analytical data, reports, meeting notes, and correspondence concerning the projects. The files also include contractual agreements and financial records to implement studies/projects.

a) Programmatic files

Retention: Permanent.

b) Contractual agreements and financial records that are retained exclusively by agency

Retention: Retain ten (10) years.

Note: See GRS8.10.3a.

c) Copies of contractual agreements and financial records that are transmitted to financial authority

Retention: Retain seven (7) years.

Note: See GRS8.10.3b.

d) Contractual agreements and financial records that involve small purchases (established legal/regulatory maximum)

Retention: Retain three (3) years.

Note: See GRS8.10.3c.

DEM6.8.10 305(b) Report on the State's Groundwater

The records in this series include the data and other supporting information to generate the Groundwater Section of Water Quality Assessment Reports written from 1988 to 2006.

a) DEM assessment summaries

Retention: Permanent.

b) DEM generated source data

Retention: Permanent.

c) All other data

Retention: Retain ten (10) years if confirmation is provided that source data is retained elsewhere (e.g. Rhode Island Department of Health, United States Geological Survey), otherwise Permanent.

DEM6.8.11 Well Drilling Program Records

The records in this series include well driller licensing application files, variance request records, and variance request supporting material up to 2014.

Note: DEM is no longer administering any aspect of the well drilling program. The functions of the Well Drilling program were transferred from the OWR to the RI Contractors Registration Board in 2013 and to the Department of Health. Well completion reports are now collected by the Department of Health. Well completion reports that had been submitted to DEM over the years have been transferred to the Department of Health.

a) Well driller licensing files

Retention: Retain five (5) years.

b) Variance request records – record of approval

Retention: Permanent.

c) Variance request records – supporting material

Retention: Retain ten (10) years.

DEM6.9 Nonpoint Pollution Source (NPS) Management Program

NPS sources of pollution are those that cannot be tracked to a single pipe or discharge point, such as overland storm water runoff and failing septic systems. The RIDEM NPS Management program encourages various actions by state and local governments, businesses, watershed groups and individual landowners to address NPS of pollution.

DEM6.9.1 NPS Program Management Records

The records in this series include program administration files, NPS Management Plan documentation, Program Quality Assurance Plans, correspondence and reports to EPA, financial expenditure records, records of grants issued (see below) and materials from water quality protection and restoration activities funded by EPA to ensure DEM satisfies EPA program guidance.

a) Grant-produced management plans, studies, and reports

Retention: Permanent.
(As per GRS1.6 Special Plans, Publications and Reports.)

b) Grant applications and amendments, final performance, disposition and expenditure reports

Retention: Permanent.

c) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

d) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

e) Income transaction records (earning of income) after grant support where required by the terms of the grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

f) Unsuccessful grant applications

Retention: Retain three (3) years.

NOTE: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL § 9-1-17).

NOTE: See also GRS1.18.

DEM6.9.2 Watershed Management Plan Records

A watershed is a land area whose waters drain to the same body of water, such as a stream, lake or river. A watershed-based approach, therefore, can cover multiple jurisdictions within the state, smaller watersheds, and in some cases, cross state lines.

The records in this series include final watershed management plans as well as documentation related to their development. The records encompass, but are not limited to, data analyses to determine existing water quality and conditions, and records related to identification, description, and documentation of any current and past watershed protection and restoration measures. Included are supporting materials on physical features, land use,

and land cover, pollution sources, and water monitoring data in the watershed as well as related meeting notes and correspondence.

a) Final watershed plans

Retention: Permanent.

b) Supporting material necessary for future watershed plan development

Retention: Retain twenty (20) years.

c) All other supporting materials

Retention: Retain until plan is updated.

DEM6.10 Onsite Wastewater Treatment System (OWTS) Program

Onsite Wastewater Treatment Systems include systems of piping, tanks, dispersal areas, alternative toilets or other facilities designed to convey, store, treat or disperse wastewater by means other than discharge into a public wastewater system. The OWTS program (formerly known as the individual sewage disposal system section (ISDS) regulates the location, design, construction, and maintenance of onsite wastewater treatment systems. The program also licenses OWTS designers and reviews proposals to use new or alternative OWTS technologies.

DEM6.10.1 2007 RI Cesspool Act Implementation Records

A cesspool is any buried chamber (for example, a metal tank, a perforated concrete vault, or a covered hollow or excavation) that receives sewage from a building for disposal into the ground. The Rhode Island Cesspool Act of 2007 (RIGL § 23-19.15) mandates that all cesspools located within a certain distance (currently 200 feet) of the inland edge of the coastal shoreline or within a certain distance (currently 200 feet) of a drinking water reservoir or public well must be abandoned and the home upgraded with a new onsite wastewater treatment system or connected to available municipal sewer lines.

Records in this series include documents related to the 2007 RI Cesspool Act and include copies of correspondence to property owners, Property Owner Response Forms, inspection reports, property surveys, hardship application packages (where applicable) and documentation of coordination with the DEM Office of Compliance and Inspection.

Retention: Permanent.

DEM6.10.2 Subdivision Site Suitability Certification Files

Subdivision Site Suitability is a preliminary stage in the construction of on-site wastewater systems dedicated to individual residential or commercial subdivisions. The records in this series contain documentation related to the application process and records of the approval process. Included is applicant documentation describing the location of water sources, soil and other testing reports, wet and dry season monitoring data, municipal tax information, property ownership and easement records, and related wetland permits. The records also include proposed design documents and plans, location maps, locations of test holes, size and location of existing and proposed subdivision buildings, and the location of various structures and water resources within a specified distance of the proposed facility. Finally,

the files contain DEM review and deficiency letters, comments and engineer's responses to comments, as well as letters of non-acceptability, Department of Health approval, and town water authority approvals, as well as DEM final approved plans, final approval letters and requests for clarification and modification. Subdivision certificates remain valid for a period of five years.

Retention: Retain fifty (50) years.

DEM6.10.3 System Suitability Determination (SSD)/System Design Review Permit Files

An SSD is a preliminary determination of whether or not an already existing septic system is adequate for a proposed commercial or residential building construction, renovation or change of use. The records in this series contain SSD applications. The files may contain, but are not limited to, Residential or Commercial System Suitability Determination Applications, copies of tax cards, copies of previously approved OWTS construction permits (or ISDS Applications), copies of approved OWTS/ISDS plans, engineering analyses, existing and proposed floor plans, proposed modification statements, inspection reports, Administrative Review Sheets, and SSD Review Sheets.

Retention: Retain ten (10) years.

DEM6.10.4 OWTS Construction Permit Files

The records in this series include OWTS/ISDS construction permit files. There are several types of OWTS/ISDS construction permits, including Applications for New Building Construction, Alteration to a Structure, Repair, Variance Request, and Redesign or Transfer of the aforementioned.

The documentation may include, but is not limited to records and forms related to the ground water table, soil testing applications, locus maps, site evaluation forms and inspection reports, submission checklists, OWTS Construction Permits (or ISDS Application), as-built and proposed plans, descriptions of the component technologies, and calculations, Affidavits of Continuing Validity of Field Data, copies of municipal tax cards, recorded easements, deeds, and deed restrictions, copies of related Fresh Water Wetlands Permits, Well Drilling Program Affidavits, groundwater well variance approval letters, and OWTS review and comment documentation. The files may also contain variance records and correspondence, meeting notes, copies of consent agreements, Notice of Intent (NOI) and

Notice of Violation (NOV), additional terms of approval letter, copies of Water Quality and Groundwater Certificates, inspection reports, affidavits to replace designer of record and for substitution of advanced technology for existing technology, photographs, operation and maintenance agreements, designers' statements of supervision and certificates of construction, and Certificates of Conformance. Finally, the permit files may also include Orders of Approval, which specify additional terms to which the property owner and the DEM agree.

a) Plans that are not approved

Retention: Retain until conformance.

b) Final plans and all other records

Retention: Permanent.

DEM6.10.5 Post-Conformance Operation and Maintenance (O&M) Files

Records in this series may include copies of the following documents: Approved OWTS Construction Permits (or ISDS Application), Additional Terms of Approval Letters, Water Quality Certificates, Ground Water Certificates, Operation and Maintenance Contracts, O&M Inspection Reports, Correspondence (Comments from Service Providers, Letter of Non-Compliance), Wastewater Sample Results, and Groundwater Sample Results.

Retention: Permanent.

DEM6.10.6 OWR OWTS/ISDS Designer Licensing Application Files

This series relates to records submitted to apply for and maintain a designer license. The records include exam application forms and other documentation required as part of the application process; graded exams as well as correspondence related to exam eligibility and results. The records also include documentation related to the post-exam history of the applicant, including applicant announcements of withdrawals; license renewal applications documentation, including evidence of required continuing education courses; communications notifying applicant of application deficiencies and correspondence; notices of license expiration; and records documenting founded complaints concerning licensee design performance.

a) Failed license application files

Retention: Retain three (3) years.

b) Successful license application files – renewed and non-renewed

Retention: Retain ten (10) years, or three years (3) after renewal, whichever occurs sooner.

c) Complaints

Retention: Retain ten (10) years.

Note: Complaints against licensed OWTS designers are handled and documented by the Office of Compliance and Inspection. See DEM Office of Compliance and Inspection retention schedules: DEM5.1 Complaint Investigation Case Files and DEM5.2 Complaint Investigation Enforcement Action Case Files.

DEM6.10.7 OWTS Designer Licensing Review Panel Records

The records in this series include files related to the administration of the OWTS Designer Licensing Review Panel. Included are pertinent regulations, panel member information, meeting notice posting and confirmations with SOS office, and Open and Executive Session meeting notes.

a) Administrative files

Retention: Permanent.

b) Files that relate to specific designers

Retention: Retain as long as the individual Designer Licensing Application File is retained. (See DEM6.10.6)

DEM6.10.8 OWTS Installer Licensing Files

The records in this series include documentation related to the licensing of installers. The license files may include, but are not limited to, application documentation, documentation related to the payment of the application fee, copies of exams, and license renewal application forms, as well as a copy of the certificate of attendance in New England Onsite Wastewater Training Center's one-day class required for authority to install bottomless sand filters.

Retention: Retain ten (10) years, or three (3) years after re-licensing, whichever occurs sooner.

DEM6.11 Innovative and Experimental Systems and Technology Records

Experimental systems or technologies include any innovative OWTS that does not meet the location, design, or construction requirements as provided by existing OWR regulations, but which may demonstrate the ability to comply with the performance standards consistent with its regulations.

DEM6.11.1 Innovative and Experimental Technology Applications Files

Records in this series include documentation of DEM activities related to individual applications for approval. Included are technology applications, supplemental application submissions, summaries of application reviews, minutes of meetings, communication with vendor applicants, draft and final approval certifications, internal communication regarding certification development, vendor reviews and comments on draft certifications, historical performance data, finalized guidance document detailing all design, installation, operation and maintenance requirements, training-related documentation, annual reports of performance, lists of individuals trained for design, installation and O&M, lists of installations for year, summary of failures and remedial actions, and lists of authorized service providers. Also included are renewal applications, requests from vendors to authorize modified technologies, new models, and revised certifications and renewed certifications.

Retention: Permanent.

DEM6.11.2 Technical Review Committee Meeting Files

The Technical Review Committee reviews and evaluates vendor applications for approval of innovative and alternative OWTS systems and technologies that do not conform to the design parameters specified in the OWTS Rules. Records in this series include documentation of the meetings of the committee. Included are draft agendas, technology application summaries, reference material obtained by research performed during review of a technology application, communication with other regulatory agencies concerning a technology under review, material prepared to assist TRC consideration of specific issues (worksheets with examples of options), draft technology approval certifications and communications with vendor applicants, and final DEM certifications of approval.

Retention: Permanent.

DEM6.11.3 Approved Innovative and Experimental Technology Lists

This series consists of lists of OWR approved experimental technologies in both hard copy and electronic files.

Retention: Retain three (3) years after superseded.

DEM6.11.4 Technology Training Files

These files are associated with the corresponding vendor application files (DEM6.11.2). The files can become quite large, so they are maintained with, but separate from, the data and installation reporting (which are incorporated into the technology files).

Retention: Retain until training expires.

DEM6.12 Water Quality Certification (WQC) Program

The WQC program regulates water pollution control activities which may cause or contribute pollution to waters of the state. The Water Quality Certification certifies that a proposed activity complies with the state's Water Quality Regulations. Section 401 of the federal Clean Water Act requires that any federal projects involving dredging and filling receive prior certification from the state WQC program.

DEM6.12.1 Water Quality Certification Permit Records

Records in this series may include, but are not limited to, completed application forms, water quality testing and sediment testing results, and approval and denial decision documentation. The files may also include construction plans, photographs, and application related correspondence, meeting attendance sheets, public hearing notices, public hearing exhibits and transcripts, inspection reports, operation and maintenance plans, informal enforcement actions, and requests for information.

a) All of the above records including plans, notices, applications, except Soil Erosion and Sedimentation Control Plans ("SESC Plans"), waivers, denied permits, or records involving no permit required

Retention: Retain permanently, unless infrastructure is demolished, in which case retain until infrastructure is demolished.

b) Waivers, denied permits, or no permit required

Retention: Retain ten (10) years after denial, or decision that no permit is required.

c) SESC Plans for permit with RIPDES Construction General Permit requirements

Retention: Retain ten (10) years after permit authorization termination or permit authorization renewal.

d) All other SESC Plans

Retention: Retain until site is completed, plus three (3) years.

Note: Where a project also requires a permit from another OWR permit program (Wetlands, ISDS, RIPDES, Marine dredging and dredged material, and Underground Injection Control), the WQC decision may also be incorporated into the decision issued under that program.

DEM6.12.2 Water Quality Policy and Technical Assistance Files

The records in this series may include notes and policies regarding Water Quality Protection documentation, as well as technical assistance documentation developed for the Water Resources Board, Division of Planning reports, and presentations. The files may also include requests for intra-departmental WQC opinions.

a) Water quality certification policy opinions and comments

Retention: Permanent
(As per GRS1.3 Policies and Procedures.)

b) Technical assistance reports and communications to other agencies

Retention: Retain ten (10) years.

DEM6.13 Freshwater Wetlands Program

The Department of Environmental Management administers and enforces the Rhode Island Freshwater Wetlands Act (RIGL § 2-1-21 et seq.). The Act is intended to protect the state's wetlands in order to protect people and property from flooding, safeguard groundwater resources, provide valuable wildlife habitat and recreational opportunities, and protect surface water quality. In addition to implementing state wetlands law, the DEM develops policies and undertakes projects and initiatives intended to build the DEM wetland program in core regulatory and non-regulatory areas.

The Department has also created a Water Quality and Wetland Restoration Team that is made up of individuals from various OWR programs. The team promotes effective partnerships between restoration proponents and OWR regulators, and helps to ensure that projects are successful and meet regulatory requirements.

DEM6.13.1 Wetland Policy Records

The records in this series include DEM and Coastal Resource Management Council (CRMC) Memorandum of Agreement for the administration of the state's freshwater wetland programs and the jurisdictional boundary. With some exceptions, freshwater wetlands landward of the boundary are regulated by DEM, and freshwater wetlands seaward of the jurisdictional boundary are regulated by CRMC.

Retention: Permanent.
(As per GRS1.3 Policies and Procedures.)

DEM6.13.2 Wetland Rulemaking Files

Retention: Permanent.

Note: See GRS2.5

DEM6.13.3 Wetland Outreach and Training Records

The records in this series include surveys and questionnaires, compiled data, supporting documentation, draft and final (published) materials, updated published materials, agendas, presentations, handouts, evaluations and results, photographs and clippings, etc.

Retention: See GRS5.4 Surveys/Questionnaires, GRS5.6 Scrapbooks/Photo Albums/Clippings, GRS5.13 Outreach and Training Records, and other applicable General Records Schedule record series.

a) Completed survey/questionnaire forms

Retention: Retain three (3) years.

Note: See GRS5.4a

b) Compiled data

Retention: Retain until report is compiled and issued (minimum three years). Before disposal of compiled data, consult State Archives to review for historical value.

Note: See GRS5.4b

c) Reports and recommendations issued, instituted, or arising from surveys/questionnaires.

Retention: Permanent.

Note: See GRS5.4c

d) Surveys unrelated to agency mission or programs

Retention: Retain three (3) years or until of no further administrative value, whichever is later.

Note: See GRS5.4d

e) Scrapbooks/photo albums/clippings created from events

Retention: Permanent.

Note: See GRS5.6.

f) Outreach and Training: Evaluation forms and compiled data

Retention: Retain three (3) years or until of no further administrative value, whichever is later.

Note: See GRS5.13a

g) Outreach and Training: Electronic presentations

Retention: Retain each substantive version permanently.

Note: See GRS5.13b

h) Outreach and Training: All other records

Retention: Retain one copy as a permanent record.

Note: See GRS5.13c

DEM6.13.4 Special Wetland Plans, Publications, Studies, and Reports

The records in this series include technical files, surveys/questionnaires, compiled data, including field data, notes and memoranda, presentations, draft and final plans, publications, studies, and reports.

Retention: Retain one copy permanently.
(As per GRS1.6 Special Plans, Publications, Studies and Reports.)

DEM6.13.5 Wetland General, Technical, and Policy Reference Materials

Retention: Retain three years or until of no further reference value, whichever is later.

Note: See GRS5.11

DEM6.13.6 Wetland Grant Program Files

Records relating to the office's development of grant proposals to state or federal agencies or other funding sources, as well as records related to the administration of its own grant programs or programs administered by the agency. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specifications, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

d) Income transaction records (earning of income) after grant support where required by the terms of the grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: See GRS1.18

DEM6.13.7 Wetland General Correspondence and Memoranda

Routine written communications created or received in the normal course of Wetland Program business. May include, but is not limited to, referral letters, requests for information pertaining to the agency, requests for publications that the agency provides to the public, requests for the services provided by the agency, requests for records under the Access to Public Records Act (RIGL § 38-2), any other correspondence that does not affect policy or procedures, and routine internal memos (unless specific to agency policy or procedures). Records may be arranged chronologically, by subject, or in some other order that is meaningful to the agency. This series does not include correspondence that involves personnel decisions, allegations of misconduct, the program's facilities, complaints, or the program's budget.

Retention: Retain three (3) years.

Note: See GRS5.1

DEM6.13.8 Wetlands Permitting Files

The records in this series may include, but are not limited to, Wetland Permit applications documentation, which may contain, but is not limited to, wetlands permit applications, biologist reports/evaluations, correspondence, deeds, engineer reports/evaluations, maps, site plans and supportive documentation, memoranda, permit renewals, permit modifications, stormwater review sheets, permit water quality reports/evaluations, and final administrative decision letters, as well as warning letters. Applications to Alter files include similar documentation, as well as abutter lists, public notices and comments, permit renewals, permit modifications, stormwater review sheets, permit water quality reports/evaluations, warning letters, and letters of non-conformance.

Retention: Permanent.

DEM6.13.9 Wetlands Information Files/Wetlands Determination Files

The records in this series include documentation related to requests DEM receives to determine the presence of wetlands at particular sites, or for wetland edge verification, that is, whether a piece of property is within a certain proximity of wetlands. These records may include, but are not limited to, biologist reports/evaluations, correspondence, final administrative decision letters, maps, site plans and supportive documentation, and memoranda.

Retention: Permanent.

DEM6.13.10 Water Quality and Wetland Restoration Team Records

The records in this series include applications for approval to implement measures targeting invasive species that are potentially harmful to freshwater ecosystems. The records consist of Invasive Species Authorization files and Pre-Application Assistance files. Each file may

include, but is not limited to, project information sheets, site drawings, project narratives, photographs, emails, meeting notes, authorization letters, and monitoring reports. Finally, the team maintains a Tracking Sheet of all team projects and activities.

The Pre-Application Assistance files relate to assistance that the Wetland Program provides to groups or organizations involved in wetland restoration. Included in the files are meeting notes and hard copy files that are provided to the Wetland Program when the application is received.

a) Invasive species authorization files

Retention: Permanent.

b) Pre-application assistance files

Retention: Retain three (3) years.

DEM6.14 DEM/Agriculture Applications for Permit to Control Aquatic Nuisances Using Pesticides

The records in this series include documentation of OWR reviews of DEM/Agriculture Applications for Permit to Control Aquatic Nuisances Using Pesticides, including application submittals, review forms, plans, maps and correspondence.

Retention: Retain ten (10) years.

DEM6.15 Aquatic Invasive Species Records

Aquatic invasive species (AIS) are non-native plants and animals that have been introduced (accidentally or intentionally) into lakes and rivers, and whose introduction threatens the diversity or abundance of native species, the stability of the ecosystem and/or the use of the infested water body. The records relate to a monitoring program to survey state waters for the presence of invasive aquatic species, and the investigation of complaints concerning invasive species and a variety of outreach activities.

The records in this series include quality assurance project plans (QAPPS), survey maps, field inspection forms, photographs, other maps, including statewide map of aquatic invasive species, documentation of communications with lake associations or other interested parties, and meeting notes.

a) Survey maps, other maps, field inspection forms, photographs documenting environmental problems

Retention: Permanent.

b) Documentation of communications with lake associations, meeting notes, other photographs, and QAPPs.

Retention: Retain ten (10) years.

DEM6.16 Water Resource Organization Participation Records

Staff of the OWR sometimes represent the Office or the Department on various state and regional government and quasi-government bodies. Current examples include the

Narragansett Bay Estuary Program, the Water Resources Board, the New England Interstate Water Pollution Control Commission (NEIWPCC), the Association of Clean Water Administrators (ACWA), and the Rhode Island Bays, Rivers, Watersheds Coordination Team. The records in this series document the OWR's membership and participation in these organizations. The records include correspondence, agendas, meeting notes, and technology/policy documents.

Retention: Retain ten (10) years.

DEM6.17 Lakes Management Program

The OWR has responsibility for improving the protection of Rhode Island's freshwater lakes, ponds, and reservoirs. It does this by promoting the development and implementation of lake management plans. DEM also tracks citizen complaints concerning lake conditions on an annual basis.

DEM6.17.1 Lake, Pond, and Reservoir Monitoring Records

The records in this series include water quality related documentation accumulated for specific lakes. Records include individual lake management plan documents and correspondence pertaining to lake management plans, final lake reports, and complaints pertaining to lakes. The records may also include contract and grants related documentation for field inspection reports and for the collection of various kinds of water quality data.

a) Reports

Retention: Permanent.

b) Lake water quality data

Retention: Permanent.

(As per DEM6.6.3 b) Assessment database data.)

c) Grant applications and amendments, final performance, disposition and expenditure reports

Retention: Permanent.

Note: See GRSI.18a

d) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

Note: See GRSI.18b

e) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

Note: See GRSI.18c

f) Income transaction records (earning of income) after grant support where required by the terms of the grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

Note: See GRS1.18d

g) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: See GRS1.18e

h) Complaints

Retention: Retain five (5) years.

DEM6.18 Federal EPA Funding Oversight Records

DEM receives federal grant funding from the Environmental Protection Agency. The records in this series include documents related to EPA's oversight of OWR's federally funded work. The records include, but are not limited to, program reviews and official determinations of continued availability of funding for Non-Point Source Pollution efforts; official notification of decisions that relate to EPA's decisions about the OWR's programs, and the EPA's approval of OWR waivers from mandated guidance.

a) Grant applications and amendments, final performance, disposition and expenditure reports

Retention: Permanent.

Note: See GRS1.18a

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

Note: See GRS1.18b

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

Note: See GRS1.18c

d) Income transaction records (earning of income) after grant support where required by the terms of the grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

Note: See GRSI.18d

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: See GRSI.18e

DEM6.19 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. (RIGL § 38-1-10, § 38-3-6(j), and § 42-8.1-10.)

Retention: Permanent.