

Presentation at Sampling and Data Management

FIPA Winter-Spring Workshop

March 20, 2009

Clearwater, FL 33756

OUTLINE

RECORDS RETENTION REQUIREMENTS:

1. Federal (EPA) – 40 CFR 403.12(o)
2. State of Florida (DEP) – FAC 62-625-600(14)(b)
3. GS14 – General Records Schedule for Public Utilities
 - a. Item #76
 - b. Item #117
 - c. Request for reduction in retention period to State Dept. of Library & Archives

FACTORS WHICH MAY INFLUENCE THE DISPOSITION OF RECORDS:

1. Litigation
2. Public Records Requests
3. Accreditation Standards
4. Records in Support of Financial or Performance Audits

DISPOSITION PROCEDURES:

1. Time frame
2. Documentation
3. Methods of disposal

FLORIDA INDUSTRIAL PRETREATMENT PROGRAM RECORDS RETENTION FACT SHEET

FLORIDA INDUSTRIAL PRETREATMENT ASSOCIATION

RECORDS RETENTION FACT SHEET

Federal (EPA) – 40 CFR 403.12

- b) Reporting Requirements:
 - 1) Identifying Information
 - 2) Permits
 - 3) Description of operations
 - 4) Flow measurement
 - 5) Measurement of pollutants
 - 6) Certification
 - 7) Compliance schedule
 - c) Compliance schedule for meeting categorical Pretreatment Standards
 - d) Report on compliance with categorical pretreatment standard deadline
 - e) Periodic reports on continued compliance
 - f) Notice of potential problems, including slug loading
 - g) Monitoring and analysis to demonstrate continued compliance
 - h) Reporting requirements for Industrial Users not subject to categorical Pretreatment Standards
 - i) Annual POTW (Publicly Owned Treatment Works) reports.
 - j) Notification of changed discharge
 - k) Compliance schedule for POTW's
 - l) Signatory requirements for industrial user reports
 - m) Signatory requirements for POTW reports
 - n) Provisions governing fraud and false statements
- (o) Record-keeping requirements. (1) Any Industrial User and POTW subject to the reporting requirements established in this section shall maintain records of all information resulting from any monitoring activities required by this section. Such records shall include for all samples:
- (i) The date, exact place, method, and time of sampling and the names of the person or persons taking the samples;
 - (ii) The dates analyses were performed;
 - (iii) Who performed the analyses;
 - (iv) The analytical techniques/methods use; and
 - (v) The results of such analyses.
- (2) Any Industrial User or POTW subject to the reporting requirements established in this section shall be required to retain for a minimum of 3 years any records of monitoring activities and results (whether or not such monitoring activities are required by this section) and shall make such records available for inspection and copying by the Director and the Regional Administrator (and POTW in the case of an Industrial User). This period of retention shall be extended during the course of any unresolved litigation regarding the Industrial User or POTW or when requested by the Director or the Regional Administrator.

(3) Any POTW to which reports are submitted by an Industrial User pursuant to paragraphs (b), (d), (e), and (h) of this section shall retain such reports for a minimum of 3 years and shall make such reports available for inspection and copying by the Director and the Regional Administrator. This period of retention shall be extended during the course of any unresolved litigation regarding the discharge of pollutants by the Industrial User or the operation of the POTW Pretreatment Program or when requested by the Director or the Regional Administrator.

p) Industrial User shall notify the POTW, the EPA Regional Waste Management Division Director, and State hazardous waste authorities in writing of any discharge into the POTW of a substance, which, if otherwise disposed of, would be a hazardous waste under 40 CFR part 261.

State of Florida (DEP) – FAC 62-625-600**1) Reporting Requirements:**

- a) Identifying information
- b) Permits
- c) Description of operations
- d) Flow measurement
- e) Measurement of pollutants
- f) Certification
- g) Compliance schedule

- 2) Compliance schedule for meeting categorical pretreatment standards
- 3) Report on compliance with categorical pretreatment standard deadline
- 4) Periodic reports on continued compliance
- 5) Notice of potential problems, including slug discharges
- 6) Monitoring and analysis to demonstrate continued compliance
- 7) Reporting requirements for industrial users not subject to categorical pretreatment standards
- 8) Annual control authority reports
- 9) Notification of changed discharge
- 10) Compliance schedule for control authorities
- 11) Signatory requirements for industrial user reports
- 12) Signatory requirements for control authority reports
- 13) Provisions governing fraud and false statements
- 14) Record-keeping requirements

(a) Any industrial user and control authority subject to the reporting requirements established in this section shall maintain records of all information resulting from any monitoring activities required by this section. All sampling and analysis activities shall be subject to the record-keeping requirements specified in Rules 62-160.600, 62-160.610, 62-160.620 and 62-160.630, F.A.C.

(b) Any industrial user or control authority subject to the reporting requirements established in this section shall be required to retain for a minimum of 3 years any records of monitoring activities and results (whether or not such monitoring activities are required by this section) and shall make such records available for inspection and copying by the Department (and control authority in the case of an industrial user). This period of retention shall be extended during the course of any unresolved litigation regarding the industrial user or control authority.

(c) Any control authority to which reports are submitted by an industrial user in accordance with (1), (3), (4) and (7) above shall retain such reports for a minimum of 3 years and shall make such reports available for inspection and copying by the Department. This period of retention shall be extended during the course of any unresolved litigation regarding the discharge of pollutants by the industrial user or the operation

15) Provisions governing hazardous waste

State of Florida General Records Schedule GS14 for Public Utilities:

- **PRE-TREATMENT REPORTS: ANNUAL** Item #76
This record series consists of the annual report concerning the contents and effects of the sewerage on the water reclamation collection system and the water reclamation facility.
RETENTION:
Record copy. 5 fiscal years.
Duplicates. Retain until obsolete, superseded or administrative value is lost.
 - **WASTEWATER PRE-TREATMENT RECORDS: INDUSTRIAL** Item #117
This record series consists of inspections and notifications if over limit of treatments done before dumped into sewage system.
RETENTION:
Record copy. 10 years.
Duplicates. Retain until obsolete, superseded or administrative value is lost.
 - On 3/6/2009, FPUA sent a request to the Florida Department of Library & Archives to reduce the retention period for GS14, Item #117, from 10 years to 5 years.
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The following resources can be found at:

http://dlis.dos.state.fl.us/index_RecordsManagers.cfm

- Basics of Records Management
 - General Records Schedule GS14 for Public Utilities
 - General Records Schedule GS1-SL for State and Local Government Agencies
 - Records Disposition Document
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By Nancy McConkey

nmccconkey@fpuu.com

772.466.1600, Ext. 3008