

RECORDS RETENTION SCHEDULE

RC-50, Revised 5/1999

(Return to Public Records Administrator)



STATE OF CONNECTICUT

Connecticut State Library

PUBLIC RECORDS ADMINISTRATION

231 Capitol Ave., Hartford, CT 06106

FOR OFFICE USE ONLY

Retention Schedule # 05-1-1

Agency: Department of Environmental Protection	Address: 79 Elm Street, Hartford, CT 06106
Division or Unit: Bureau of Air Management - Compliance and Field Operations	

This schedule is: revised.

If revised, enter previous retention schedule number here: # 03-4-1,

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ITEM NUMBER (i.e. S1-065)	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD		ARCHIVAL DESIGNATION <i>(to be filled in by State Archivist)</i>
		Office	Records Center or approved off-site facility ²	
1.	<p>Notices of Violation File: This record series is for Notices of Violation issued to sources violating the State's Air Regulations. This is the first enforcement step taken by the Department. These files are organized numerically by Notice of Violation number in the Field Operations Enforcement Unit files.</p> <p>A. Notices of Violation (NOV); B. Classification of Violation form; C. Certified card addressed to the respondent; and D. Letters, memos and notes.</p>	<p>1.A. Permanent 1.B. Permanent 1.C. Permanent 1.D. 10 years from closure.</p>		

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Approved (Agency Records Management Liaison Officer) <i>Martin Delaney</i>	Typed Name of RMLO: <i>Tina Delaney</i>	Title: <i>Env. Analyst III</i>	Date: <i>01/03/05</i>
Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/15/05</i>	Approved (Public Records Administrator) <i>Lucille R. Di Bella</i>	Effective Date of Schedule: <i>1/15/05</i>

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2.	<p>Order File: This record series is for documentation developed after a Notice of Violation is issued and the Respondent does not or will remedy the violation. At that point a State Order may be issued per the State's Regulations. These files are organized by Order # in the Administrative Enforcement Unit files.</p> <p>A. Original State Orders, Consent, Unilateral, or Trading Agreement & Order; B. Certified card addressed to the respondent; C. Land records; D. Enforcement Action Summary; E. Penalty calculations worksheet; F. Consent Order Data Sheet; and G. Closure memo.</p>	Permanent from date of full compliance or closure of order.	Permanent files subject to transfer to State Archivist at discretion of Department of Environmental Protection.	
3.	<p>Order Support File: This record series is for documents received or created during the development of enforcement cases. These files are organized by Order # in Administrative Enforcement Unit files.</p> <p>A. Technical support documents; B. Classification of violation forms; C. State Implementation Plan narratives; D. Credit creation approval proposals; and E. Drafts, letters, memos and notes.</p>	Five years from date of full compliance or closure of order.		

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Approved (Agency Records Management Liaison Officer) <i>Martina Delaney</i>	Typed Name of RMLO: <i>Tina Delaney</i>	Title: <i>Env. Analyst II</i>	Date: <i>01/03/05</i>
Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Vincent B. DiBella</i>	Effective Date of Schedule: <i>1/15/05</i>

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4.	<p>Program File: This record series is for the Program File created when the State Order is issued to the respondent or when there is an enforcement history file. These files are organized alphabetically by company within town in the file room.</p> <p>A. Copy of orders and NOVs; B. Source's complete enforcement history; C. Past violations; D. Records of past and present fines the source paid to DEP; E. State Implementation Plan (SIP) narratives; F. Credit creation approval proposals; and G. Drafts, letters, memos and notes.</p>	Five years from date of full compliance or closure of order or action.		
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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Juniel G. Di Bella</i>	Effective Date of Schedule: <i>1/5/05</i>

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5.	<p>Municipal Waste Combustor (MWC) Trading Protocol File This record series is for documentation associated with the MWC program as set forth in Section 22a-174-38. This program establishes NOx limits for MWC and provides for trading to comply with the NOx limits by way of MWC Trading Protocols. These files are organized by company in the Emissions Trading Unit files.</p> <p>A. MWC Trading Protocol with trading baseline information;</p> <p>B. Formulas for calculating emission reduction credits (ERC) created and/or used pursuant to Section 22a-174-38; and</p> <p>C. Drafts, letters, memos and notes.</p>	<p>5. A. Permanent</p> <p>5. B. Five years from date protocol was approved.</p> <p>5. C. Five years from date protocol was approved.</p>		
6.	<p>ERC Approval Letters for MWCs File This record series is for ERC approval letters for MWCs. These files are organized by trade letter number in the Emissions Trading Unit files.</p> <p>A. Approval Letters;</p> <p>B. Technical Support; and</p> <p>C. Drafts, letters, memos and notes.</p>	<p>6. A. Permanent</p> <p>6. B. Five years from date protocol was approved.</p> <p>6. C. Five years from date protocol was approved.</p>		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator): <i>Marie G. Di Bella</i>	Effective Date of Schedule: <i>1/5/05</i>

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7.	<p>Annual Trading Emission Statements, Spreadsheets and Reporting Forms File: This record series is for the NOx Trading program as set forth in Section 22a-174-22. The program establishes a method of compliance with NOx limits by way of emissions credit use. The following documents are used in order to calculate the credits generated and used. These files are organized by town/premise in Emissions Trading Unit files.</p> <ul style="list-style-type: none"> A. Annual Trading Emission Statements from sources participating in the ERC trading program; B. Spreadsheet forms containing information including, but not limited to, amounts of ERCs created, sold and/or used, source of ERCs, formulas used and fuel use; C. Trading Program Reporting Forms; D. Proposed Credit Creations Pending Approval; E. New Jersey Credits Purchased and Used; F. Approved Discrete Emission Reduction Credit (DERC) Sales Report; and G. Letters, memos and notes. 	Retain the most recent submission file. Retain preceding submission file for five years from the date of submission.		
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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Kevin B. DiBella</i>	Effective Date of Schedule: <i>1/5/05</i>

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8.	Trading Program Audit File: This record series is for the Emissions Trading program self-audits. These files are organized by audit year in Emissions Trading Unit files. A. Periodic audit reports of the overall trading program (submitted to EPA and NJ); and B. Drafts, letters, memos and notes.	8.A. Permanent 8.B. Two years from completion of audit.		
9.	Trading Program Guidelines and Policies File: This record series is for policies and guidelines support implementation of the Emissions Trading Program. These are maintained as an electronic file.	15 years		
10.	The Emissions Trading Program Database Tables: This record series is for the Registry for both Discrete Emission Reduction Credits (DERC) and New Source Review (NSR). These are maintained as an electronic file. A. Credit use/creation information from "registry" included with the Trading Program Audit; and B. DERC and NSR Offset use and creation information.	Five years		

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Approved (State Archivist) <i>C. Mark H. Jones</i>	Date: 1/5/05	Approved (Public Records Administrator) <i>Renée B. DiBella</i>	Effective Date of Schedule: 1/5/05

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11.	Memoranda of Understanding (MOU) File: This record series is for regional emissions trades when MOUs are used. These files are organized by state/company in the Emissions Trading Unit files. A. MOU between the department and other states; and B. Letters, memos and notes.	Five years after expiration of MOU.		
12.	Compliance Plans File: This record series is for the NOx RACT program as set forth in Section 22a-174-22 establishes NOx emission limits. Sources demonstrate intended method for compliance in the plan submitted. A. Major Nitrogen Oxide (NO _x): These files are organized by town/premise in Emissions Trading Unit files. 1. Major NO _x compliance plan; and 2. Letters, memos and notes. B. Minor NO _x : These files are organized alphabetically by company within town in file room. 1. Minor NO _x compliance plan; and 2. Letters, memos and notes.	Retain the most recent submission file. Retain preceding submission file for 15 years from the date of submission.		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Munis B. B. B.</i>	Effective Date of Schedule: <i>1/5/05</i>

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13.	<p>Offset Credit Transfer Request File: This record series is for sources that use credits in lieu of offsets as allowed for by Section 22a-174-3a(l) to meet the lowest achievable emission rate (LAER). Such credits may be accompanied by a transfer request. These files are organized by trade number in the Emissions Trading Unit files.</p> <p>A. Offset credit transfer request submitted to the Emissions Trading Unit; B. For sources that obtain CT-created New Source Review (NSR) offsets for use in CT or other states or obtain out-of-state offsets for use in CT; and C. Letters, memos and notes.</p>	12 years from date of submission.		
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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator): <i>Annelle B. Di Bella</i>	Effective Date of Schedule: <i>1/5/05</i>

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14.	VOC/RACT (Volatile Organic Compounds/Reasonable Available Control Technology) Compliance Plans File as set forth in Section 22a-174-32: This record series is for the plans that establish requirements for VOC sources. Sources demonstrate intended method of compliance in the plans submitted. These files are organized alphabetically by company name in the Administrative Enforcement Unit files. A. VOC/RACT compliance plan (either non-synthetic minor (major) or synthetic minor) for sources that meet applicability requirements; and B. Letters, memos and notes.	15 years from date of submission.		
15.	Bureau of Air Management Enforcement Database (BAMED) tables.	Five years		
16.	General Permit to Limit Potential to Emit (GPLPE) Annual Emission Summaries File: This record series is for summaries containing premises-wide emissions in tons/year for larger sources registered under the GPLPE. These files are organized alphabetically by company in the Compliance Analysis and Coordination Unit (CACU) files. Letters, memos and notes.	Five years from date of submission.		

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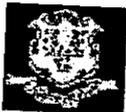
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17.	GPLPE Compliance Certifications File: This record series is for certifications containing compliance status' for all terms and conditions of the GPLPE. These files are organized alphabetically by company in the CACU files. A. GPLPE compliance certifications; and B. Letters, memos and notes.	Five years from date of submission.		
18.	Compliance Analysis Database & Information System (CADIS) Tables	Five years		

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19.	<p>Title V File as set forth in Section 22a-174-33: These files are organized alphabetically by company in the Compliance Analysis and Coordination Unit (CACU) files.</p> <p>A. Prompt Notifications: This record series is for notification of emission exceedance required usually within 10 days of any exceedance.</p> <ol style="list-style-type: none"> Title V Prompt Notifications; and Letters, memos and notes. <p>B. Monitoring Reports: This record series is for monitoring reports that are required semi-annually/quarterly and contain results of monitoring, summaries of results, and information on monitoring system performance.</p> <ol style="list-style-type: none"> Title V Monitoring Reports; and Letters, memos and notes. <p>C. Progress Reports and Compliance Certifications pursuant to Section 22a-174-33(q): This record series is for certifications containing compliance statuses for all terms and conditions of Title V.</p> <ol style="list-style-type: none"> Title V progress reports and compliance certifications; and Letters, memos and notes. 	10 years from date of submission.		
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20.	Non-Title V Monitoring Reports File: This record series is for monitoring reports that are required semi-annually/quarterly and contain results of monitoring, summaries of results, and information on monitoring system performance. These files are organized alphabetically by company in CACU files and consist of Non-title V monitoring reports.	Five years from date of submission.		
21.	Correspondence with regulated entities on monitoring issues File: This record series is for correspondence (i.e., e-mails and letters) on monitoring issues. These files are organized alphabetically by town and company within town in the CACU files and includes letters, memos and notes.	Five years from date of submission.		

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22.	<p>Stack Test Reports File: This record series is for certain sources requiring stack testing performed prior to the issuance of their final operating permit. These tests are performed by the source and audited by DEP staff. These files are organized by intent to test number in file room.</p> <p>A. Final summary of emissions results (table); B. Final process results (table); C. Report results acceptance letter; D. Report results rejection letter; E. Source Test Program form FE-410; F. Intent to Test Protocol; G. Stack test report; H. Analytical and field data; I. Stack testing analysis; and J. Letters, memos, notes.</p>	<p>22.A. 20 years from date of testing. 22.B. 20 years from date of testing. 22.C. 20 years from date of testing. 22.D. 20 years from date of testing. 22.E. 20 years from date of testing. 22.F. 20 years from date of testing. 22.G. Seven years from date of testing. 22.H. Seven years from date of testing. 22.I. Seven years from date of testing. 22.J. Seven years from date of testing.</p>		
23.	<p>Complaints File: This record series is for citizen complaints regarding possible violations of the air pollutant regulations by sources. These files are organized alphabetically by town and company within town in file room.</p> <p>A. Complaints; and B. Letters, memos and notes.</p>	Five years from receipt of complaint.	←	
24.	Complaints Database Tables.	Five years		

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Approved (Agency Records Management Liaison Officer) <i>Martina Delaney</i>	Typed Name of RMLO: <i>Tina Delaney</i>	Title: <i>Env. Analyst III</i>	Date: <i>01/03/05</i>
Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>James G. DiBella</i>	Effective Date of Schedule: <i>1/5/05</i>

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Division or Unit: Bureau of Air Management - Compliance and Field Operations	

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25.	<p>Compliance Inspection Reports and Field Notes File: This record series is for typewritten and handwritten inspection field notes on air pollutant sources prior to annual plant-wide inspection. Reports include formal inspection reports incorporation of information from the field notes on air pollutant sources for compliance with Regulations, and to which compliance is determined, sampling data, photos and the background on the source. These files are organized alphabetically by town and then by company within the town in the file room.</p> <p>A. Routine annual plant-wide inspections; B. Reports by staff on inspections for the sole purpose of compliance with the Regulations; C. Routine Field Notes and Reports, Air and Noise File; and i. Formal inspection reports; ii. Sampling data; iii. Photographs; iv. Background on the source; and v. Typewritten and handwritten inspection field notes on air or noise pollutant source prior to annual plant-wide inspection. D. Drafts, letters, memos and notes.</p>	<p>Retain the two most recent report files. Retain preceding report files for 10 years from the date of inspection.</p>	←	
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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Munir B. Di Bella</i>	Effective Date of Schedule: <i>1/5/05</i>

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26.	<p>Pre-Inspection Questionnaire (PIQ) File: This record series is for questionnaires completed by air pollutant source. The PIQ lists process, emissions, and air pollution control equipment information. DEP performs inspections on the equipment on the basis of the information in the questionnaires. These files are organized alphabetically by town and company within the town in the file room with the most recent year kept in the Field Operations Enforcement Unit files.</p> <ul style="list-style-type: none"> A. Questionnaire; B. Process information with emissions; C. Air pollution control equipment listed by volume; D. Copy of initial screening letter sent to determine need for PIQ; E. Photographs; and F. Letters, memos and notes. 	<p>Permanent: Up to and including 1990 files.</p> <p>1991 to the present files: Retain the two most recent files for existing pollutant source. Retain preceding files for 10 years from associated inspection.</p>	<p>Permanent files, up to and including 1990 files, are subject to transfer to State Archivist at discretion of Department of Environmental Protection.</p>
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Approved (Agency Records Management Liaison Officer) <i>Martia Delaney</i>	Typed Name of RMLO: <i>Tina Delaney</i>	Title: <i>Env. Analyst III</i>	Date: <i>01/03/05</i>
Approved (State Archivist) <i>Michael H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Annelle G. DiBella</i>	Effective Date of Schedule: <i>1/5/05</i>

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27.	Open Burning File: Open Burning File: This record series is for open burning requests as set forth in Connecticut General Statute 22a-174(f). This is for open burning of material (i.e., brush, vegetation) with certain dates to burn the material submitted by either a resident or town and the permit issued by local open burning official or DEP. Mainly files kept in the individual town records. Some submitted files are organized alphabetically by town and/or by company in the file room. A. Applications; B. Permit issued by the local open burning official or DEP; and C. Forms: - cc. to DEP; and D. Letters, memos and notes.	Five years after expiration of permit.		
28.	Daily Inspector Call-in Sheets File: This record series is for the daily log times/locations when the inspector calls in to inform the office of what facility they will be going to/coming from. These files are organized by date in the Field Operations Enforcement Unit.	One year		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator): <i>Minnie B. Burt</i>	Effective Date of Schedule: <i>1/15/05</i>

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29.	<p>Stage II Vapor Recovery File This record series is for questionnaires completed by operators or owners of gas stations. This information determines when the Stage II vapor recovery equipment should be installed at the gas station as set forth in Section 22a-174-30. These files are organized alphabetically by town in the file room.</p> <p>A. Questionnaire; B. Letters, memos and notes.</p>	<p>29.A. Permanent 29.B. Five years</p>		
30.	<p>Stage II Vapor Recovery Test Results File. This record series is for Stage II Vapor Recovery Tests as set forth in Section 22a-174-30, allowing the Department to determine the efficiency of control equipment. These files are organized by Licensee Number in the file room. The test results required by Regulation 22a-174-30(e) are filed by licensee number.</p> <p>A. Stage II Vapor Recovery test results of gas station air pollution control equipment performed by testing company; B. Gas station dispenser layout diagram; C. DEP audit of the testing ; D. Signature of testing company; and E. Letters, memos and notes.</p>	<p>Retain the file for the most recent test approved, until superseded by following test,</p>		

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Approved (Agency Records Management Liaison Officer) <i>Mark H. Jones</i>	Typed Name of RMLO: <i>Tina Delaney</i>	Title: <i>Env. Analyst III</i>	Date: <i>01/03/05</i>
Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator): <i>Samuel B. B. B.</i>	Effective Date of Schedule: <i>1/5/05</i>

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31.	Environmental System Corporation (ESC) Database File: This record series replaces the SAS Database as of April 1996. It contains raw data electronically collected from all monitoring sites throughout Connecticut. (Planning and Standards Division (P&S) retains also, listed as #2 in P&S RRS #98-5-1 effective on 3/9/98.) Raw data found in PC "poll1" at the Windsor Lab and in PC "poll2" on the 5 th floor at Elm St. Calibrated data (stored on 400MB 3M Tri Mini cartridges) found in P&S database, SAS/SAROAD, as a hard copy in P&S files and raw data.	Five years		
32.	Monitoring and Meteorological Instrumentation Operation Check Sheets File: This record series is for written documentation of the performance, maintenance and operation of monitoring & meteorological instruments. These check sheets are part of DEP quality assurance procedures to ensure that the instruments continue to operate effectively and provide accurate data. These files are organized in the Field Operations Monitoring Unit files.	Five years		

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Approved (State Archivist) <i>Mark Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Samuel B. B.</i>	Effective Date of Schedule: <i>1/5/05</i>

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33.	Preventative Maintenance Check Sheet File: This record series is for the written record of periodic maintenance (visual inspections, cleaning & lubrication, filter replacement, etc) performed at a monitoring site to insure a minimum of instrument downtime and/or data rejection due to environmental & peripheral equipment problems. These files are organized in the Field Operations Monitoring Unit files.	Five years		
34.	Site File: This record series is for information about both active and inactive air quality monitoring sites and documents site descriptions (i.e. site name, location, sampling probe location, environment within one quarter mile radius, topography, etc.) These files are organized in P&S files (#5 in P&S RRS #98-5-1 effective on 3/9/98) and in Field Operations Monitoring Unit files.	Permanent		
35.	Air Quality Calibration Data Sheets File: This record series is for written records of a DEP quality assurance procedure that compares performance of an air monitoring instrument to the National Institute of Standards and Technology (NIST) in order to determine the instrument's accuracy. These files are organized in the Field Operations Monitoring Unit files.	Five years		

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Approved (Agency Records Management Liaison Officer) <i>Margie Delaney</i>	Typed Name of RMLO: <i>Tina Delaney</i>	Title: <i>Env. Analyst III</i>	Date: <i>01/03/05</i>
Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Wm. B. M. B.</i>	Effective Date of Schedule: <i>1/5/05</i>

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36.	Performance Audit Report File: This record series is for documenting air monitoring instruments' accuracy by comparison to NIST. DEP staff, other than those who conduct tests in #36, performs these comparisons. The results of this audit are used to assess the accuracy of the data reported, assess the accuracy of instrument network data (all instruments measuring same pollutant) and integrity of all quality control procedures used by DEP Air Monitoring. These files are organized in the Field Operations Monitoring Unit files.	Five years		
37.	Data Logger Calibration File: This record series is for an equipment calibration that is used to bridge the gap between the Calibration Data Sheet and the ESC Database. The Data Logger stores hourly averages from instruments until it is retrieved by the polling computer for storage into the ESC database. These files are organized in the Field Operations Monitoring Unit files.	Five years		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>1/5/05</i>	Approved (Public Records Administrator) <i>Munie B. B.</i>	Effective Date of Schedule: <i>1/5/05</i>

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38.	Meteorological Instruments & Line Voltage Monitor Calibration File: This record series is for documentation of the calibration of meteorological and environmental instrumentation. This procedure insures that data inputted into the Data Logger is within accepted specifications. These files are organized in the Field Operations Monitoring Unit files.	Five years		
39.	Field Instrument Standards Records File: This record series is for documentation for creation standards used to calibrate air monitoring field instruments that measure air quality. It includes documentation of calibration of transfer instruments as well as the settings and corresponding output levels of the working standards used in the field. (part of the calibration reports) These files are organized in the Field Operations and Monitoring Unit files.	Five years		

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