

**RECORDS RETENTION SCHEDULE**

Form RC-050 (Revised 01/2010)

**COPY**



STATE OF CONNECTICUT

Connecticut State Library

Office of the Public Records Administrator

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RETENTION SCHEDULE

# **11-4-1**

- AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
- FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
- DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

<b>AGENCY:</b> Department of Public Utility Control (DPUC)	<b>AGENCY ADDRESS:</b> 10 Franklin Square, New Britain, CT 06051	<b>This schedule is:</b> <input type="checkbox"/> new <input checked="" type="checkbox"/> revised
<b>PROGRAM / UNIT:</b> Agency-wide		<b>If revised, superseded schedule number(s):</b> 86-3-1; 86-3-3; 86-3-4; 86-3-5; 86-3-6; 86-3-7; 86-3-8; 86-3-9; 86-3-10; 86-3-12

<b>RMLO (type or print):</b> Kimberly J. Santopietro	<b>TITLE (type or print):</b> Public Utilities Support Services Manager	<b>APPROVED (State Archivist):</b> Mark H. Jones (signature on file)	<b>DATE:</b> 3/7/2011
<b>APPROVED (RMLO):</b> Kimberly J. Santopietro (signature on file)	<b>DATE:</b> 3/1/2011	<b>APPROVED (Public Records Administrator):</b> LeAnn R. Power (signature on file)	<b>EFFECTIVE DATE:</b> 3/7/2011

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
1.	<b>Accident Reports</b> This series documents reports of utility accidents submitted by electricity, natural gas, water, and telecommunication companies in Connecticut to DPUC.	7 years	- 0 -	7 years	
2.	<b>Annual Statutory Reports</b> This series documents annual reports submitted by electricity, natural gas, water, and telecommunication companies in Connecticut to DPUC pursuant to CGS §16-27, §16-28, §16-29, and §16-32.	Permanent	- 0 -	Permanent / Archival	
3.	<b>Cable Television (CATV) Construction Maps</b> This series documents maps outlining construction of television cables in Connecticut.	5 years	- 0 -	5 years	

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		Office (A)	Off-site (B)	Total (A + B)	
4.	<p><b>Call Before You Dig Records</b></p> <p>This series documents records related to the underground damage prevention program for electricity, natural gas, water, and telecommunication companies in Connecticut. Including but not limited to: underground damage incident reports and related correspondence.</p>	5 years	– 0 –	5 years	Enforcement cases are handled through the DPUC docket process.
5.	<p><b>Dockets</b></p> <p>This series documents the hearing and docketing process related to DPUC's regulation of the rates and services of Connecticut's investor owned, electricity, natural gas, water, and telecommunication companies. Including but not limited to: notices of hearing and special meetings, transcripts of hearing, exhibits, minutes of hearing, applications, drafts of decisions, findings, decisions, orders, rules, regulations, tariffs, bonds, securities, and docketing information in database.</p>	Permanent	– 0 –	Permanent / Archival	From 1911 to 1994, dockets maintained in hard copy format. From 1994 to present, dockets maintained in hard copy and electronic format.
6.	<p><b>Electric Load Forecast Reports</b></p> <p>This series documents reports of forecasts of peak loads, net energy, load management and energy efficiency for electricity generation by Connecticut's two regulated electric distribution companies: the Connecticut Light and Power Company (CLP) and the United Illuminating Company (UI).</p>	Permanent	– 0 –	Permanent	
7.	<p><b>Federal Grants</b></p> <p>This series documents records related to Pipeline Safety and One Call grants. Including but not limited to: Section 60105 certification, interstate agent agreement, pipeline safety application, pipeline safety payment agreement, pipeline safety reimbursement, one-call application, one-call allocation, one-call payment agreement, one-call reimbursement, one-call progress report, certification regarding lobbying, and annual program evaluation in accordance with 49 USC §601.</p>	5 years	– 0 –	5 years	
8.	<p><b>Management Audits</b></p> <p>This series documents audits of gas, electric or electric distribution companies pursuant to CGS §16-8(b)(1). Including but not limited to: diagnostic reviews and audit reports.</p>	Permanent	– 0 –	Permanent	Pursuant to CGS §16-8(b)(4), audits are conducted every six years.

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9.	<p><b>Monitoring Reports</b></p> <p>This series documents reports submitted by electricity, natural gas, water, and telecommunication companies to DPUC for monitoring purposes. Including but not limited to: heating values of pipe line gas BTUs (British Thermal Units), gas leaks, electric quarterly reports submitted pursuant to CGS §16-19(g), and meter test reports.</p>	5 years	- 0 -	5 years	
10.	<p><b>Service Interruptions</b></p> <p>This series documents utility service interruptions for electricity, natural gas, water, and telecommunication companies. Includes electricity (at least 200 customer outage hours, pursuant to Conn. Agencies Regs. §16-11-101) and water (more than four hours).</p>	2 years	- 0 -	2 years	
11.	<p><b>Tariffs</b></p> <p>This series documents the application and review process for tariffs, which contain the rates, terms and conditions of certain services provided by electricity, natural gas, water, and telecommunication companies. Some tariffs are subject to Federal Communications Commission jurisdiction. Including but not limited to: applications and related correspondence.</p>	Permanent	- 0 -	Permanent	
12.	<p><b>Water Main Extension Agreements</b></p> <p>This series documents standard main extension agreements filed by water companies.</p>	Permanent	- 0 -	Permanent	