

**RECORDS RETENTION SCHEDULE
DEPARTMENT OF ENERGY AND ENVIRONMENTAL
PROTECTION**

Form RC-050 (Revised 08/2014)



STATE OF CONNECTICUT
Connecticut State Library
Office of the Public Records Administrator
231 Capitol Avenue, Hartford, CT 06106
<http://www.ctstatelibrary.org/>

**RECORDS RETENTION
SCHEDULE #**

15-4-5

1. **SCOPE:** This schedule lists records unique to Department of Energy and Environmental Protection and is used in conjunction with the General Records Retention Schedules and other relevant Records Retention Schedules.
2. **AUTHORITY:** The Office of the Public Records Administrator issues this Records Retention Schedule under the authority granted by §11-8 and §11-8a of the *General Statutes of Connecticut* (CGS).
3. **RETENTION PERIODS:** Retention periods listed on this schedule are based on the records' administrative, fiscal, legal, and historical values, as well as statutory or regulatory requirements. In most instances the established period sets the minimum retention requirement. However, some records have maximum retention periods set by Federal or State statutes or regulations. Please note that any statute or regulation listed in brackets in the "Retention" column indicates the legal citation for that retention requirement. If a records series states, "Permanent/Archival," the agency should request approval to transfer the records to the State Archives or an approved archival repository once the records are inactive. If a records series states, "May contain historical value," the agency should contact the State Archives for archival appraisal before requesting disposition of the records. Not all such records will be determined to be archival; conversely, some records without this statement might have archival value. See General Letter #2009-1 for guidelines on transferring records to the State Archives.
4. **FORMAT:** Retention periods listed on this schedule apply to the official record copy, whether in paper, electronic, or other format. If records are maintained only in an electronic system, the records custodian must be able to retrieve and interpret the content for the retention period.
5. **DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108), which is used to request permission to destroy or transfer records that have met their retention period. The agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator must sign the authorization form *prior* to destruction or transfer of public records. The Office of the Public Records Administrator cannot grant continuing approval to destroy records on an ongoing basis. No records may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigations; investigations; audits; or other cases, claims, or actions. Note that if there is a destruction hold placed on records, the retention period does not change and once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-108.
6. **DISPOSITION DUE TO REFORMATTING:** In certain circumstances, records custodians may request permission to dispose of original records that have been imaged or microfilmed provided the public agency is in compliance with the State Library's *Digital Imaging Policy* or *Microfilming Policy*.
7. **AUDIT REQUIREMENTS:** Under the Single Audit Act (31 USC 7501) audit requirements apply to Federal, State, and Local programs. The retention requirement, "___ years, or until audited, whichever is later," requires further explanation. In most instances "audit" refers to the general agency audit conducted by the State Auditors of Public Accounts or the general town or municipal audit conducted by an outside auditing agency, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process. The requirement of "until audited" is fulfilled when the official audit report is issued. The auditors may recommend that certain records be corrected. Such records, even when they meet retention requirements, must be retained during the period that any review is pending.
8. **FOIA DISCLOSURE:** This retention schedule governs the retention of public records – not the disclosure of public records. Refer to CGS §1-200 et seq. or contact the Office of Governmental Accountability, Freedom of Information Commission (FOIC), regarding the disclosure of public records.
9. **ESSENTIAL RECORDS:** Records designated as "Essential" are those records necessary to respond to an emergency; to reestablish normal operations after any such emergency; to protect the rights and interests of the agency; and to protect the rights and interests of individuals for whom it has responsibility.
10. **OBSOLETE RECORDS:** Records designated as "OBSOLETE" or "SERIES CLOSED" are no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed.
11. **RECORDS CREATION REQUIREMENT:** Nothing on this schedule mandates the creation of a record or records series if the agency does not already create or receive it in the normal course of business. However, agencies should be aware of any additional recordkeeping requirements established by state or federal statute or regulation.

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AGENCY:
 Department of Energy and Environmental Protection

AGENCY ADDRESS:
 79 Elm Street, Hartford, CT 06106

This schedule is: ORIGINAL
 REVISED
 Superseded schedule number(s):
 01-1-1; 98-5-1

DIVISION, UNIT, OR FUNCTION:
 Bureau of Air Management - Planning and Standards Division

RELEVANT STATUTES & REGULATIONS AND ACRONYMS USED ON THIS SCHEDULE:
 DEEP requirements for Abatement of Air Pollution are adopted pursuant to requirement and Authority of Connecticut General Statutes 22a-174 and Sections 4-168b.

RMLO (type or print):
 Mary Lou Kramer

JOB TITLE OF RMLO (type or print):
 Paralegal Specialist

APPROVED (Signature of State Archivist):

[Signature]

DATE SIGNED:
 10/16/15

APPROVED (Signature of RMLO):
[Signature]

DATE SIGNED:
 10/16/2015

APPROVED (Signature of Public Records Administrator):

[Signature]

EFFECTIVE DATE OF SCHEDULE:
 10/16/15

Series #	Records Series Title	Description	Retention	Disposition	Notes
01.	State Implementation Plan (SIP) Records	This series documents the development, approval, and revision of the states air quality management plan which indicates how the state implements, maintains, and enforces the Federal Clean Air Act and National Ambient Air Quality Standards (NAAQS). The SIP contains established systems to monitor, compile, and analyze data on air quality. Including but not limited to: State Implementation Plan (SIP); technical support documentation; modeling; official submittals to the EPA; and related correspondence.	Permanent	Retain in agency or transfer to State Archives	SIP is developed through a public process, formally adopted by the State, and submitted by the Governor's designee to U.S. Environmental Protection Agency (EPA). Only one SIP exists for each state. The Federal Clean Air Act requires the EPA to review each plan and any plan revisions and to approve the plan or plan revisions if consistent with the Clean Air Act.

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02.	Mobile Modeling Files	This series documents the calculation of data used as a baseline for automobile pollutants for proposing SIP revisions and legislative changes. The calculations are compared with the existing data to potential future impacts of pollutants. Including but not limited to: modeling run results; evaluations; and related correspondence.	Until superseded	Destroy after receipt of signed Form RC-108	Archival review required. Mobile sources include a variety of vehicles, engines and equipment, and can be classified as either on-road mobile sources (e.g. trucks, buses, passenger cars, motorcycles) or off-road mobile sources (e.g. construction equipment, lawn, garden and snow equipment, personal recreation equipment, locomotives, marine vessels etc.).
03.	Indirect Source Permit Records	[<i>OBSELETE</i>] This series documents permits for construction projects of indirect sources of air pollution (e.g. highways) filed by the Department of Transportation (DOT) pursuant to RCSA Sec. 22a-174-100. Including but not limited to: applications; hearing transcripts; public comments; minutes; permits and approval letters outlining the permit conditions; correspondence; and supporting documentation.	15 years from date of submission	Destroy after receipt of signed Form RC-108	Archival review required. Public hearings for indirect source permit applications pursuant to RCSA Sec. 22a-174-100(g). RCSA Sec. 22a-174-100 repealed effective 9/10/2012.
04.	Vehicle Inspection and Maintenance (I/M) Program Records	This series documents that the CT vehicle inspection and maintenance (I/M) program ensuring pollution control equipment installed in cars owned by Connecticut registrants are operating in compliance with the Federal Clean Air Act to achieve the National Ambient Air Quality Standards (NAAQS). Including but not limited to: Department of Motor Vehicles (DMV) vehicle registration data; emission inspection stations data; and I/M reports.	Permanent	Retain in agency or transfer to State Archives	Connecticut I/M program implemented in 1983. DMV manages I/M program; DEEP ensures the program achieves air quality benefits committed to in SIP. I/M reports required pursuant to 40 CFR 51.366.

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05.	Hazardous Air Pollutant Advisory Panel (HAPAP) Records	[<i>OBSOLETE</i>] This series documents Hazardous Air Pollutant Advisory Panel (HAPAP) review of proposed changes to Connecticut's hazardous air pollutant regulations pursuant to RCSA Sec. 174-22a-29. Including but not limited to: proposals; meeting minutes; meeting transcripts; correspondence; and supporting documentation.	15 years from date of submission	Destroy after receipt of signed Form RC-108	Archival review required. Pursuant to RCSA Sec. 22a-174-29 HAPAP shall review proposals and supporting documentation and make a recommendation to the Commissioner to approve, modify, or decline the proposal within 90 days. HAPAP was repealed effective 6/6/1997.
06.	Liquid Asphalt Usage Records	[<i>OBSOLETE</i>] This series documents liquid emulsified asphalt usage (whether the municipality used it; amount used; and contractor that applied it), and liquid cutback asphalt usage (whether the municipality used it; amount used; and details of its use and storage; and contractor that applied it). Including but not limited to: Liquid Asphalt reporting forms and related correspondence.	15 years from date of submission	Destroy after receipt of signed Form RC-108	RCSA Section 22a-174-20(k) prohibits, with limited exceptions, the storage, use or application of liquid cutback asphalt from June through September. As part of the SIP, DEEP must demonstrate every 3 years to the EPA the effectiveness of Section -20(K) in reducing volatile organic compound emissions. To prepare this demonstration, DEEP collects liquid asphalt usage data from all Connecticut municipalities. Reporting forms require certification of the information by municipalities. Submission of liquid asphalt surveys ended effective 2007 with amendment to RCSA Sec. 22a-174-20(k).

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07.	Ambient Air Quality Monitoring Records	This series documents ambient air monitoring, retrieval, quality assurance, validation and reporting. Data is loaded to the database by polling remote DEEP monitoring sites data acquisition computers.	Until data migrated or database retired	Destroy after receipt of signed Form RC-108	Pursuant to 40 CFR 58
08.	Air Monitoring Equipment Records	This series documents weekly checks, maintenance, quality assurance and audits performed on air monitoring equipment; air pollutant and meteorological analyzers; sensors and samplers; and analyzer calibration equipment in the field. Including but not limited to: check sheets.	5 years after end of year to which record relates	Destroy after receipt of signed Form RC-108	Quality assurance requirements for air monitoring pursuant to 40 CFR 58 Appendix A.
09.	Air Monitoring Data and Quality Assurance Records	This series documents the collection of air pollutant and meteorological data pursuant to 40 CFR 58. Including but not limited to: field data sheets; data review sheets; calibration records; Air Quality Standards (AQS) submission reports; quality assurance and precision reports; and all associated log books.	5 years from date collected	Destroy after receipt of signed Form RC-108	Archival review required.