

**RECORDS RETENTION SCHEDULE**

Form RC-050 (Revised 11/2008)

**COPY**



STATE OF CONNECTICUT  
 Connecticut State Library  
 Office of the Public Records Administrator  
 231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

**RETENTION SCHEDULE**  
**# 09-1-2**

<b>AGENCY:</b> Department of Environmental Protection	<b>AGENCY ADDRESS:</b> 79 Elm Street, Hartford, CT 06106	This schedule is: <input checked="" type="checkbox"/> new <input type="checkbox"/> revised If revised, superseded schedule number(s):
<b>PROGRAM / UNIT:</b> Office of Planning and Program Development		

<b>RMLO (type or print):</b> Veronica Ferriss (signature on file)	<b>TITLE (type or print):</b> VMD III	<b>APPROVED (State Archivist):</b> Mark H. Jones (signature on file)	<b>DATE:</b> 05/12/09
<b>APPROVED (RMLO):</b> Veronica Ferriss (signature on file)	<b>DATE:</b> 05/11/09	<b>APPROVED (Public Records Administrator):</b> Eunice G. DiBella (signature on file)	<b>DATE OF SCHEDULE:</b> 05/12/09

Item Number	RECORD SERIES <sup>1</sup> TITLE	APPROVED RETENTION PERIOD			Notes
		Office (A)	Off-site <sup>2</sup> (B)	Total (A + B)	
1	<b>Federal Voluntary Compliance Program Review Records</b> Consisting of, but not limited to, correspondence, memorandum and subject files related to DEP's review of private company applications to federal voluntary compliance programs, such as Performance Track or Energy Star. Files arranged alphabetical by company.	1 year from date program participation ends		1 year from date program participation ends	
2	<b>Filings and Notifications</b> Documentation submitted by organizations, such as hospitals, in compliance with agency regulations or state statutes (e.g., notification of products containing mercury, self enforcement audits for review). Arranged by program and then by company.	5 years from date filing or notification received		5 years from date filing or notification received	
3	<b>General Permit Development Files</b> Subject files related to the development of general permits, which are similar to a regulation. General permits regulate similar activities by a group of applicants in a defined geographic area [e.g., carwash operators]. Individual applicants must meet certain terms and conditions contained within the general permit to be approved to operate under it. Arranged by general permit type.	2 years from date of expiration or project termination		2 years from date of expiration or project termination	

<sup>1</sup> A Record Series is a group of similar or related records arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form.

<sup>2</sup> The State Records Center or an approved off-site facility. Records with a permanent retention period cannot be stored at the State Records Center. If you believe a record should be maintained permanently outside the office, it should be appraised for possible transfer to the State Archives. In this case, leave blank, and the State Archivist will review it.

**COPY**

Item Number	RECORD SERIES <sup>1</sup> TITLE	APPROVED RETENTION PERIOD			Notes
		Office (A)	Off-site <sup>2</sup> (B)	Total (A + B)	
4	<p><b>General Permit Files</b> Original signed copy of a general permit (i.e. disassembling of used electronics or storage and processing of asphalt shingle waste). Arranged by general permit type.</p>	Permanent		Permanent	Records related to individual or organization approved to operate under a general permit reside with the bureau/program that issues the approval.
5	<p><b>Grant Program Administrative Files - Federal Funds Received</b> Consisting of, but not limited to, EPA progress reports (when required), grant applications and supporting documentation, reports, contractor generated material, and other supporting documentation for development and administration of federally funded initiatives such as Pollution Prevention Initiative for States (PPIS) and education grants such as Hartford Neighborhood Environmental Project (HNEP). Arranged by program.</p>	3 years from date final expenditure report submitted		3 years from date final expenditure report submitted	40 CFR 31.42 (2) (b); fiscal records for grant kept in fiscal office and covered by S3; May contain historical records. Contact State Archivist for appraisal prior to requesting permission to dispose of files.
6	<p><b>Multiple Type Licenses - Approved</b> Consists of multiple media (e.g., water, waste and air) permit applications for one organization or for exemptions in accordance with programmatic statute or regulatory requirements (e.g., multimedia permit transfers, mercury or electronic waste disposal exemptions). Arranged alphabetically by company.</p>	2 years from date of expiration		2 years from date of expiration	
7	<p><b>Multiple Type Licenses - Denied/Withdrawn</b> Consists of multiple media (e.g., water, waste and air) permit applications for one organization or for exemptions in accordance with programmatic statute or regulatory requirements (e.g., multimedia permit transfers, mercury or electronic waste disposal exemptions). Arranged alphabetically by company.</p>	2 years from date application denied/withdrawn		2 years from date application denied/withdrawn	
8	<p><b>Permit Assistance Project Development Records</b> Consists of materials and documents related to pre-application and assistance to companies or municipalities for various projects that contain an environmental component. Arranged alphabetically by company name or town.</p>	3 years, or until permit issued or denied		3 years, or until permit issued or denied	
9	<p><b>Program Development Files</b> Including, but not limited to, consultant and advisory group meetings notes, comments, correspondence and memorandum, final decisions, policies, and program materials for the development of new agency programs (e.g., Green Circle Program). Arranged by program.</p>	2 years from date program implemented or date of last activity		2 years from date program implemented or date of last activity	Once a program is implemented, the administrative records reside with the bureau overseeing the program; May contain historical records. Contact State Archivist for appraisal prior to requesting permission to dispose of files

Item Number	RECORD SERIES <sup>1</sup> TITLE	APPROVED RETENTION PERIOD			Notes
		Office (A)	Off-site <sup>2</sup> (B)	Total (A + B)	
10	Strategic and Operational Plans Working Files Including, but not limited to, correspondence, reporting data and other relevant information relating to both the formulation and approval process in developing plans. Arranged by type of plan, then chronologically.	Until plan superseded		Until plan superseded	
11	Supplemental Environmental Project (SEP) Files Administrative records for projects funded by revenue received as part of an enforcement settlement. Consisting of proposal materials and approvals. Arranged by project.	3 years from date project completed, or until audited, whichever is later		3 years from date project completed, or until audited, whichever is later	Other bureaus have these types of records