

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

Form RC-050 (Revised 02/2012)



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 #**

14-2-3

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:** Records custodians may request permission to dispose of original records that have been scanned provided the retention period is 10 years or less and the agency has submitted a *Certificate of Compliance* in accordance with the State Library's *Standards for the Use of Imaging Technology for Storage, Retrieval, and Disposition of Public Records*. With certain exceptions, custodians may request permission to dispose of original records that have been microfilmed provided the agency has submitted a *Certificate of Compliance* in accordance with the State Library's *Required Minimum Microfilming Standards for Public Records*.
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: 10 Franklin Square, New Britain, CT 06051 | | This schedule is: <input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISED Superseded schedule number(s): |
| DIVISION, UNIT, OR FUNCTION: Bureau of Energy and Technology Policy | | | | |
| RELEVANT STATUTES & REGULATIONS AND ACRONYMS USED ON THIS SCHEDULE: CGS §16a-22c thru 22g; CGS §16a-23t(e) | | | | |
| RMLO (type or print): Mary Lou Kramer | JOB TITLE OF RMLO (type or print): Paralegal Specialist 1 | APPROVED (Signature of State Archivist): <i>Kathleen J. ...</i> | DATE SIGNED: JUL 17 2014 | |
| APPROVED (Signature of RMLO): <i>Mary Lou Kramer</i> | DATE SIGNED: 7/14/2014 | APPROVED (Signature of Public Records Administrator): <i>LeAnn B. Power</i> | EFFECTIVE DATE OF SCHEDULE: 7/17/2014 | |

| Series # | Records Series Title | Description | Retention | Disposition | Notes |
|----------|--|---|--|---|--|
| 1. | Home Heating Oil Market Monitoring Program Records | This series documents monitoring of the home heating oil market in Connecticut pursuant to CGS §16a-23t. Including but not limited to: weekly surveys and indices. | 3 years, or until audited, whichever is later | Destroy after receipt of signed Form RC-108 | |
| 2. | Home Heating Oil Market Monitoring Analysis and Investigation Records | This series documents monitoring of the home heating oil market in Connecticut and subsequent analysis and investigations pursuant to CGS §16a-23t(e). Including but not limited to: reports and referrals. | 3 years, or until audited, whichever, is later | Destroy after receipt of signed Form RC-108 | See CGS §16a-23t(e)(3) for information governing release of these records as public records. |
| 3. | Petroleum Product Vendor Registration (PPVR) Records | This series documents annual registration of petroleum products vendors in Connecticut pursuant to CGS §16a-22c thru 22g. Including but not limited to: vendor registration forms (formerly OPM-151 and OPM-155) and dealer listings. | 3 years, or until audited, whichever is later | Destroy after receipt of signed Form RC-108 | Pursuant to CGS §16a-22d registration is September 30 th of each year or no later than 30 days of commencing operations in the state, whichever is later. |

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| 4. | Weekly Energy Reports | This series documents issuance of weekly energy reports, which provide a brief overview of oil, natural gas, propane, heating oil, and gasoline price and supply issues for the previous week in Connecticut. Including but not limited to: surveys and weekly energy reports. | 3 years, or until audited, whichever is later | Destroy after receipt of signed Form RC-108 | |

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