

**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 #**

15-4-1

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: <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REVISED Superseded schedule number(s): 07-4-1
DIVISION, UNIT, OR FUNCTION: Land Acquisition and Management Division		
RELEVANT STATUTES & REGULATIONS AND ACRONYMS USED ON THIS SCHEDULE: CGS Sec. 7-131d through 7-131k.		

RMLO (type or print): Mary Lou Kramer	JOB TITLE OF RMLO (type or print): Paralegal Specialist	APPROVED (Signature of State Archivist): <i>[Signature]</i>	DATE SIGNED: 3/11/15
APPROVED (Signature of RMLO): <i>[Signature]</i>	DATE SIGNED: 3/5/2015	APPROVED (Signature of Public Records Administrator): <i>[Signature]</i>	EFFECTIVE DATE OF SCHEDULE: 3/11/2015

Series #	Records Series Title	Description	Retention	Disposition	Notes
01.	Acquisition Files	This series documents DEEP acquisition of property. Including but not limited to: copies of prior deeds to a property; contracts; appraisals; title searches; maps; copies of survey maps; correspondence; and payment records.	25 years from date property acquired or process terminated	Destroy after receipt of signed Form RC-108	Files arranged by the year the project was initiated and then by chronological project number.
02.	Parcel Files	This series documents State property rights or ownership for each piece of land acquired. Including but not limited to: contracts; title certificates; copies of survey maps; and original deeds.	Permanent	Retain in agency or transfer to State Archives	ESSENTIAL RECORD Arranged by management area and chronological parcel number.
03.	Property Management Files	This series documents land rights issues pertaining to DEEP land or interests in land already owned by the state such as encroachment on state property or requests to use state land for any reason. Including but not limited to: Special Use Licenses; Temporary or Permanent Easement Agreements; Memorandums of Understanding; and related correspondence.	25 years from date of resolution	Destroy after receipt of signed Form RC-108	ESSENTIAL RECORD Filed by year and chronological project number.

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04.	Survey Field Notes	This series consists of field notes created by surveyors during surveys of property interests owned by the state and/or affecting DEEP properties.	Permanent	Retain in agency or transfer to State Archives	ESSENTIAL RECORD Arranged by property.
05.	Survey Maps	This series consists of original Mylar maps of various property interests owned or affecting DEEP properties.	Permanent	Retain in agency or transfer to State Archives	ESSENTIAL RECORD Arranged by property.
06.	Dedication/Agreement Books	This series documents deeds and easements indexed by town and by DEEP facility.	Permanent	Retain in agency or transfer to State Archives	ESSENTIAL RECORD Arranged by date filed.
07.	Hunting Agreement Records	This series documents short term leases allowing the public to hunt on private property. Including but not limited to: agreements and supporting documentation.	10 years from date of last renewal or expiration	Destroy after receipt of signed Form RC-108	ESSENTIAL RECORD Agreements are arranged alphabetically by property name.
08.	Fishing Easement Records	This series documents State access granted to streams and/or rivers that flow through private property. Including but not limited to: easements.	Permanent	Retain in agency or transfer to State Archives	ESSENTIAL RECORD Arranged alphabetically by property name.
09.	Stream Improvement Agreement Records	This series documents short term agreements granting DEEP access to private property to build shoreline barriers or other edifices to improve aquatic habitats. Including but not limited to: agreements and supporting documentation.	10 years from date of last renewal or expiration	Destroy after receipt of signed Form RC-108	ESSENTIAL RECORD

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Series #	Records Series Title	Description	Retention	Disposition	Notes
10.	Land Acquisition/ Development Preservation Grants - Approved	This series documents state or federal grant programs that award funds for the acquisition or development of land by municipalities, land trusts or water companies for public outdoor recreational facilities or the preservation of land for open space purposes. Including but not limited to: application forms; appraisal reviews; certificates of ownership; contractual agreements includes a copy of the dedication agreement or conservation easement filed on town records and other supporting documents.	Permanent	Retain in agency or transfer to State Archives	ESSENTIAL RECORD Arrangement depends on program. The Open Space and Watershed Land Acquisition (OSWA) Grant Program administered pursuant to CGS Sec. 7-131d through 7-131k.
11.	Land Acquisition/ Development Preservation Grants – Denied	This series documents denied land acquisition and development preservation grants. Including but not limited to: application forms; appraisal reviews; and supporting documentation.	1 year from date application received	Destroy after receipt of signed Form RC-108	
12.	Appraisal Records	This series documents real estate appraisals of private property for sale to the State or for conservation easements. Appraisals are provided by State of Connecticut licensed appraisers. Including but not limited to: appraisal reviews.	5 years from date of appraisal	Destroy after receipt of signed Form RC-108	