

**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 #**

15-4-4

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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<b>AGENCY:</b> Department of Energy and Environmental Protection	<b>AGENCY ADDRESS:</b> 79 Elm Street, Hartford, CT 06106	This schedule is: <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REVISED Superseded schedule number(s): 93-1-8
<b>DIVISION, UNIT, OR FUNCTION:</b> Bureau of Air Management - Radiation Division		
<b>RELEVANT STATUTES &amp; REGULATIONS AND ACRONYMS USED ON THIS SCHEDULE:</b> CGS Sec. 22a-148 through Sec. 22a-162a.		

<b>RMLO (type or print):</b> Mary Lou Kramer	<b>JOB TITLE OF RMLO (type or print):</b> PARALEGAL SPECIALIST	<b>APPROVED (Signature of State Archivist):</b> <i>[Signature]</i>	<b>DATE SIGNED:</b> 10/15/15
<b>APPROVED (Signature of RMLO):</b> <i>[Signature]</i>	<b>DATE SIGNED:</b> 10/14/2015	<b>APPROVED (Signature of Public Records Administrator):</b> <i>[Signature]</i>	<b>EFFECTIVE DATE OF SCHEDULE:</b> 10/15/15

Series #	Records Series Title	Description	Retention	Disposition	Notes
1.	<b>Radiological Environmental Monitoring Program (REMP) Records</b>	This series documents DEEP monitoring and sampling of wildlife, fish, vegetation, and milk in the vicinity of nuclear power plants pursuant to CGS Sec. 22a-158. Including but not limited to: reports and supporting documentation.	50 years from date of decommissioning or termination, whichever is later	Transfer to State Archives	
2.	<b>Diagnostic and Therapeutic X-Ray Device Registration and Inspection Records</b>	This series documents registration and inspection of medical, dental, veterinarian, and other x-ray machines pursuant to CGS Sec. 22a-150. Including but not limited to: inspection reports and registration forms.	50 years from date of decommissioning or termination, whichever is later	Destroy after receipt of signed Form RC-108	Pursuant to CGS Sec. 22a-150 diagnostic and therapeutic (medical) x-ray devices must be registered biennially.  Archival review required.

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Series #	Records Series Title	Description	Retention	Disposition	Notes
3.	<b>Radioactive Material and Industrial X-Ray Device Registration Records</b>	This series documents annual registration of industrial x-ray sources and radioactive materials pursuant to CGS Sec. 22a-148. Including but not limited to: registration forms.	50 years from date of decommissioning or termination, whichever is later	Transfer to State Archives	Registration includes facility name/address; type of radiation device; NRC license #; and disposal methods for ionizing radiation.  Radioactive material is any solid, liquid, or gas that emits radiation spontaneously.  Industrial sources of ionizing radiation include baggage x-ray devices; lead paint analyzers; cabinet x-ray systems; density and thickness gauges; linear or circular accelerators for radioisotope production; and Van de Graaff machines.
4.	<b>Low-Level Radioactive Waste Generator Assessment Records</b>	[ <i>OBSOLETE</i> ] This series documents waste generation assessment of low-level radioactive waste generators pursuant to CGS Sec. 22a-163o. Including but not limited to: forms.	Permanent	Retain in agency or transfer to State Archives	Waste generation assessments are used to collect fees pursuant to RCSA Sec. 22a-163f-5.  Low-level radioactive waste management facility siting regulations pursuant to RCSA Sec. 22a-163f-1 to 22a-163f-10; Sec. 22a-163l-1; and Sec. 22a-163t(b)-1.