

STATE AGENCIES' RECORDS RETENTION/DISPOSITION SCHEDULE
S1: ADMINISTRATIVE RECORDS
(Revised: 06/2009)



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

Approved (State Archivist): Mark H. Jones (signature on file)	Date: 06/30/09	Approved (Public Records Administrator): Eunice G. DiBella (signature on file)	Date: 06/30/09
---	--------------------------	--	--------------------------

- AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
- SUPERSEDEENCE:** This schedule supersedes all previously approved *State Agencies' Records Retention Schedules: S1: Administrative Records*.
- FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
- DISPOSAL AUTHORIZATION:** This schedule is used concurrently with the *Records Disposal Authorization* (Form RC-108). The RC-108 must be approved by the agency Records Management Liaison Officer (RMLO), State Archivist, and Public Records Administrator *prior* to the destruction of public records.

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-010	Accident Records	Consists of reports and related documents regarding personal injury on state property, at state sponsored events, or in state owned vehicles.	10 years from date of report	Destroy after receipt of signed Form RC-108	See S3-720 for accidents that involve only property damage.
S1-020	Alarm System Activity Records	Consists of records that document alarm system activity. Including but not limited to: alarm test check sheets, zone check sheets, gate alarm check sheets, and alarm activity logs.	2 years from date of activity	Destroy after receipt of signed Form RC-108	
S1-030	Annual Reports	Consists of annual reports created for submission to Governor or General Assembly.	Permanent	Permanent / Archival	See S1-440 for administrative, special, and interim reports. See S1-380 for publications. See General Letter #2009-1 to transfer records to the State Archives.
S1-040	Calendars – Administrative Head	Consists of calendars for the administrative head of agency (e.g., executive director, commissioner, or agency head). Includes hard copy and electronic formats.	Term of office plus 2 years [term of office is the entire length of time a person is in office]	Destroy after receipt of signed Form RC-108	It is recommended that entries for personal appointments should not be intermingled with official appointments. May have historical value – contact State Archivist prior to submission of Form RC-108.

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 2 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-050	Calendars – Staff	Consists of staff calendars of daily activities. Includes hard copy and electronic formats.	Current calendar year plus 1 year	Destroy after receipt of signed Form RC-108	It is recommended that entries for personal appointments should not be intermingled with official appointments.
S1-060	Correspondence – Transitory	Consists of transitory records that have short term administrative value (e.g., transmittal faxes/memos and out of office replies). Includes hard copy and electronic formats.	No requirement	Destroy at will	See General Letter #2009-2 for management and retention of e-mail and other electronic messages.
S1-070	Correspondence – Routine	Consists of routine incoming correspondence, and copies of outgoing correspondence for internal and external audiences; general requests; and Freedom of Information Act (FOIA) requests and complaints. Includes hard copy and electronic formats.	2 years from date of correspondence	Destroy after receipt of signed Form RC-108	See General Letter #2009-2 for management and retention of e-mail and other electronic messages.
S1-080	Correspondence – All Other	Consists of correspondence other than transitory or routine, e.g., for correspondence related to a fiscal transaction, refer to S3-110, “3 years, or until audited, whichever is later.” Includes hard copy and electronic formats.	Follow retention of equivalent records series	Follow disposition of equivalent records series	See General Letter #2009-2 for management and retention of e-mail and other electronic messages. May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-090	Correspondence Logs	Consists of logs that document incoming and/or outgoing correspondence. Information collected may include date received, name of sender, and receiving person or office.	Current calendar year plus 2 years	Destroy after receipt of signed Form RC-108	
	E-mail and Electronic Messages	Includes electronic mail (e-mail), instant messaging (IM), and text messaging (SMS).	Follow retention for correspondence: S1-060, S1-070, or S1-080	Follow disposition for correspondence: S1-060, S1-070, or S1-080	See General Letter #2009-2 for management and retention of e-mail and other electronic messages.
S1-100	Emergency Preparedness Plans – Business Continuity	Consists of agency or facility disaster response and business recovery plans in the event of a natural or man-made disaster (e.g., Y2K, hurricane, or pandemic flu).	5 years from date superseded or until obsolete	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-110	Emergency Preparedness Plans – Disaster Plans	Consists of agency or facility disaster plans for the recovery of operational and vital records in the event of a natural or man-made disaster.	Until superseded	Destroy after receipt of signed Form RC-108	Disaster plans may be incorporated into an agency Emergency Preparedness Plan (see S1-100).

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 3 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-120	Emergency Preparedness Drill Records	Consists of the results of disaster preparedness exercises and supporting documents including scenarios, locations of safety related drills, timetables, response times, probable outcomes, areas of difficulty, descriptions of how difficulties were resolved, and areas for improvement.	2 years from date of exercise, or reviewed, whichever is later	Destroy after receipt of signed Form RC-108	
S1-130	Emergency Preparedness Disaster Recovery Records	Consists of records that document disaster recovery activities.	3 years from date of activity	Destroy after receipt of signed Form RC-108	See S3-310 for emergency relief fiscal records. Disaster recovery records may be retained for longer if significant records were involved in disaster.
S1-140	Grant Program Files – Approved	Consists of program files for the administration of grants for state-funded or state-administered federally-funded grant programs. Including but not limited to: applications, project proposals, narratives, supporting documentation, grant contracts, related correspondence, evaluations, award letters, and reports.	3 years after renewal, termination, or final report, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	See S3-060 for grant fiscal records. In many instances grant files from federal programs may have a longer retention period, which should be indicated on an agency retention schedule. May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-150	Grant Program Files – Denied / Withdrawn	Consists of denied, returned, revoked or withdrawn applications for the administration of grants for state-funded or state-administered federally-funded grant programs. Including but not limited to: project proposals, narratives, supporting documentation, related correspondence, and evaluations.	3 years from date denied / withdrawn	Destroy after receipt of signed Form RC-108	See S3-060 for grant fiscal records. In many instances grant files from federal programs may have a longer retention period, which should be indicated on an agency retention schedule. May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-160	Legislative Records	Consists of records that lead up to the creation of legislation at the agency level (passed or not passed). Including but not limited to: copies of bills and previous drafts, testimony, copies of hearing transcripts, reports, and related correspondence.	2 years from date legislative session ends	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 4 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-170	Liability Proof of Coverage Records	Consists of proof of coverage for state sponsored programs at private facilities, use of state facilities by private organizations, and insurance certificates required for loans of museum artifacts and archival documents.	3 years from date of expiration, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	
S1-180	Liability Waivers / Assumption of Risk	Consists of waivers/assumptions of risk for individuals or private organizations participating in State programs or utilizing State property (e.g., ride-a-longs, job shadows, or refusals of medical treatment).	3 years from date of waiver	Destroy after receipt of signed Form RC-108	
S1-190	Meetings, Minutes of Agency Staff	Consists of minutes of meetings for staff and committees at the agency level.	5 years from date of meeting	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-200	Meetings, Minutes and By-laws of Boards / Commissions	Consists of minutes of meetings and by-laws for boards, commissions, and task forces.	Permanent	Permanent / Archival	See General Letter #2009-1 to transfer records to the State Archives.
S1-210	Meetings, Records of	Consists of records of meetings and meeting packets. Including but not limited to: agendas, handouts, notices of schedule, schedules of meetings, and presentations.	1 year from date of meeting	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-220	Meetings, Recordings of	Consists of audio/video recordings of meetings. Including but not limited to: cassette, mini-cassette, VHS, DVD, DVR, SD cards, or USB.	6 months from date minutes approved	Destroy after receipt of signed Form RC-108	
S1-230	Memorandums of Understanding	Consists of formal agreements reached between state, local, and/or federal agencies. Includes Memorandums of Agreement (MOA) and Memorandums of Understanding (MOU).	5 years from date agreement no longer in force	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-240	Occupational Safety and Health Plans	Consists of plans required by OSHA (Occupational Safety and Health Administration) or CONN-OSHA (Connecticut Department of Labor, Division of Occupational Safety and Health). Including but not limited to: facilities-based plans, emergency procedures, and other related plans.	Until superseded	Destroy after receipt of signed Form RC-108	

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 5 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-250	Occupational Safety and Health Records	Consists of occupational safety and health records. Including but not limited to: annual summaries, OSHA 300 logs, OSHA 301 incident report forms, chemical storage, hazardous chemical inventory forms, and safety records.	5 years after end of year to which record relates [29 CFR §1904.33]	Destroy after receipt of signed Form RC-108	Facilities covered by Emergency Planning and Community Right-to-Know Act (EPCRA) must annually submit inventory forms to the Local Emergency Planning Committee (LERC), State Emergency Response Commission (SERC), and the local fire department.
S1-260	Occupational Safety and Health Reports	Consists of reports and citations to OSHA and CONN-OSHA, as well as responses to violations. Including but not limited to: facility injury log and summary and supplemental record for each calendar year.	5 years after end of year to which report relates [29 CFR §1904.44]	Destroy after receipt of signed Form RC-108	Citations must remain posted until the violation has been abated, or for 3 working days (excluding holidays and weekends), whichever is later.
S1-270	Parking Permits	Consists of records related to the permitting process to park at State parking facilities. Including but not limited to: applications and related documentation.	1 year from date superseded, cancelled, or revoked.	Destroy after receipt of signed Form RC-108	
S1-280	Parking Permits, Temporary	Consists of records related to the permitting process to temporarily park at State parking facilities. Including but not limited to: applications and related documentation.	Until expiration of permit	Destroy after receipt of signed Form RC-108	
S1-290	Personal Data Removal Logs	Consists of logs that document removal of personal data from public records.	Current calendar year plus 1 year	Destroy after receipt of signed Form RC-108	See CGS §4-190 et. seq. regarding the Personal Data Act.
S1-300	Personal Data, Requests for Removal of	Consists of <i>Requests for Removal of Personal Data</i> (Form RC-077) submitted to the Office of the Public Records Administrator, Connecticut State Library.	1 year from date of approval	Destroy after receipt of signed Form RC-108	See CGS §4-190 et. seq. regarding the Personal Data Act.
S1-310	Phone Records – Logs	Consists of logs that document usage of agency land lines or cell phones. Information collected may include person calling, date and time of call, number dialed, and length of call.	Current calendar year plus 1 year	Destroy after receipt of signed Form RC-108	
S1-320	Phone Records – Message Books	Including but not limited to: message books and related documentation of phone messages.	Current calendar year plus 1 year	Destroy after receipt of signed Form RC-108	

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 6 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-330	Planning Studies	Consists of studies that document the review and evaluation of agency or program functions. Including but not limited to: needs assessments, consultant reports, surveys, questionnaires, and related correspondence.	5 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-340	Policies and Procedures	Consists of official record copy of policies and procedures issued by governing boards, commissioners, agency heads, or other authorized entities. Including but not limited to: policies, directives, general letters, memos, and guidelines.	5 years from date superseded or voided	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-350	Presentation Records	Consists of records of presentations, training sessions, conferences, and workshops conducted by agencies. Including but not limited to: handouts and presentations.	1 year from date of presentation	Destroy after receipt of signed Form RC-108	
S1-360	Program Development Files	Consists of records that document history of agency programs, units, or divisions.	5 years from date of last activity	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-370	Public Relations Records	Consists of communications and public relations of agency. Including but not limited to: press cuttings, press releases, remarks, speeches, and related correspondence.	2 years from date issued	Destroy after receipt of signed Form RC-108	May have historical value – contact State Archivist prior to submission of Form RC-108.
S1-380	Publications, Agency	Consists of publications that are produced under authority of a state agency. Includes hard copy and electronic formats.	No requirement at agency level	Forward to State Library [CGS §11-9d]	Pursuant to CGS §11-9d, submit 17 copies to the State Library or send a hyperlink of the electronic publication to CDA@cslib.org .
S1-390	Records Disposal Authorizations	Consists of <i>Records Disposal Authorizations</i> (Form RC-108) used to document disposition of public records.	25 years from date of disposition	Destroy after receipt of signed Form RC-108	Agency maintains record copy. State Library maintains duplicate copy permanently.
S1-400	Records Storage Lists	Consists of <i>Records Storage Lists</i> (Form RC-100) used to document disposition of public records at the State Records Center.	25 years from date of disposition	Destroy after receipt of signed Form RC-108	State Records Center maintains record copy permanently.

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 7 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-410	Regulation Making Records – Regulations Not Passed	Consists of records related to the formulation and approval process in writing regulations. Including but not limited to: hearing transcripts, minutes of formal hearings, correspondence, and subject files.	2 years from date regulation not passed	Destroy after receipt of signed Form RC-108	See CGS §4-168b for the regulation making record under the Uniform Administrative Procedures Act.
S1-420	Regulation Making Records – Repealed or Time-Limited Regulations	Consists of records related to the formulation and approval process in writing regulations that by their own terms or by statute are limited in duration. Including but not limited to: hearing transcripts, minutes of formal hearings, correspondence, and subject files.	2 years from date regulation expires [CGS §4-168b(a)(b)]	Destroy after receipt of signed Form RC-108	Retaining these records for two years allows for their possible use in litigation.
S1-430	Regulation Making Records – Permanent Regulations	Consists of records related to the formulation and approval process in writing regulations that are permanent. Including but not limited to: hearing transcripts, minutes of formal hearings, correspondence, and subject files.	Permanent [CGS §4-168b(a)(b)]	Permanent / Archival	See General Letter #2009-1 to transfer records to the State Archives.
S1-440	Reports	Consists of administrative, special, and interim reports. May include reports created for submission to state or federal agencies or legislative committees.	2 years from date of report	Destroy after receipt of signed Form RC-108	For annual reports, see S1-030. For publications, see S1-380. For grant funded projects, use the retention period required by the grant. May contain historical value – contact State Archivist prior to disposition.
S1-450	Schedules, Staff Assignment	Consists of records that document location or duty assignments for agency staff. Including, but not limited to: desk schedules, duty rosters, staffing assignments (including logs), and staffing worksheets.	Current calendar year plus 1 year	Destroy after receipt of signed Form RC-108	
S1-460	Security Logs	Consists of logs that document building and parking security. Including but not limited to: logs of facility visitors and employee ID/key assignments.	Current calendar year plus 1 year	Destroy after receipt of signed Form RC-108	

State Agencies' Records Retention Schedule S1: Administrative Records, (Revised: 06/2009), Page 8 of 8

Item #	Records Series Title	Description	Retention	Disposition	Notes
S1-470	Security Surveillance Recordings	Consists of audio/video security surveillance recordings. Including but not limited to: cassette, mini-cassette, VHS, DVD, DVR, SD card, or USB.	30 days from date of recording [unless notice of pending action has been filed]	Destroy at will	If recordings become evidence in any kind of disciplinary proceeding, litigation, or if notice of pending action has been filed with the agency, recordings must be retained until all actions have been resolved.
S1-480	Subpoenas	Consists of writs issued by a court authority to compel the attendance of a witness at a judicial proceeding.	1 year from date subpoena issued	Destroy after receipt of signed Form RC-108	
S1-490	Voice Mail	Consists of information recorded to voice mail systems, answering machines, or other Web based systems. Voice mail is an electronic record, however, is transitory in nature and may be destroyed at will.	No requirement [special circumstances may apply requiring some limited retention, see General Letter #2009-2]	Destroy at will	See CGS §1-213 regarding disclosure of voice mail by public agencies.
S1-500	Website Content	Consists of website content records. Including but not limited to content pages, records generated from user interaction, and lists of URLs. Including but not limited to: blogs, web pages, and wikis.	Until superseded, or until no longer needed for the conduct of agency business, whichever is later	Destroy at will	See S1-380 for electronic publications.
S1-510	Website Management and Operations Records	Consists of web management and operation records. Including but not limited to site design, use of copyrighted materials, software applications, and site maps.	1 year from date superseded	Destroy after receipt of signed Form RC-108	