

RECORDS RETENTION SCHEDULE

Form RC-050 (Revised 11/2008)

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STATE OF CONNECTICUT
 Connecticut State Library
 Office of the Public Records Administrator
 231 Capitol Avenue, Hartford, CT 06106
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RETENTION SCHEDULE
09-1-3

AGENCY: Department of Environmental Protection	AGENCY ADDRESS: 79 Elm Street, Hartford, CT 06106-5127	This schedule is: <input type="checkbox"/> new <input checked="" type="checkbox"/> revised If revised, superseded schedule number(s): <u>94-2-7</u>
PROGRAM / UNIT: WPLR/Office of Long Island Sound Programs		

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

Item Number	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD			Notes
		Office (A)	Off-site ² (B)	Total (A + B)	
A. COASTAL PLANNING					
1	Coastal Management Implementation Working Files Consists of developmental documentation and backup materials including but not limited to notes, drafts, edits and background material related to implementation of coastal management programs. Arranged alphabetically by town.	2 years from date of final documents	N/A	2 years from date of final documents	formerly item 21b
2	Coastal Zone Pre-application Review Files - Federal Consists of reviews of proposed federal projects not covered under consistency determination concurrences under the Coastal Zone Management Act {CZMA} where no application is filed. May include Outer Continental Shelf [OCS] oil & gas/alternative energy programs, Federal Energy Regulatory Commission [FERC] preliminary permit applications, and AMTRAK project information. Arranged alphabetically by town or agency name.	5 years from date reviewed	N/A	5 years from date reviewed	Also part of Permits; Comments become part of the Federal Consistency Review File if town or agency applies for a federal permit. Formerly item 23.

¹ 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.

² 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.

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		Office (A)	Off-site ² (B)	Total (A + B)	
3	<p>Coastal Zone Consistency Review Files - State and Federal</p> <p>Review of state or federal projects in the coastal zone to determine if they are consistent with the Coastal Zone Management Act. The files include but are not limited to site plans, application materials, project descriptions, letters, memos, notes and other materials necessary for OLISP to concur or object to the finding. Arranged alphabetically by town or agency name.</p>	5 years from date permit expires, or date of approval, whichever is later.	N/A	5 years from date permit expires, or date of approval, whichever is later.	Also part of Permits; CGS §22a-100 and CZMA §307, 16 USC §1456.; E-mails, memos, or any correspondence leading to a decision of no comment or any conceptual plans that do not lead to a formal application are considered routine correspondence (S1-065).
4	<p>Coastal Zone Consistency Finding Files - State and Federal</p> <p>DEP/OLISP letter concurring with or objecting to the determination that state or federal projects in the coastal zone are consistent with the Coastal Management Act. Includes copies of plan sheets identifying what was approved. Arranged alphabetically by town or agency name.</p>	Permanent	N/A	Permanent	Also part of Permits: CGS §22a-100 and §307 of the CZMA, 16 USC §1456.
5	<p>Connecticut Coastal Boundary Files</p> <p>Quadrangle mylar maps adopted at town hearings from 1980-1982 identifying the coastal boundary and natural resources within that including coastal resources, shellfish concentration areas, soil types, and surficial geology adopted by coastal municipalities desiring to expand the coastal boundary; "Coastal Boundary Hearing Examiner's Report" describing the boundary methodology and recommendation for adoption of the maps. Arranged alphabetically by town or agency name.</p>	Permanent		Permanent/ Archival	Formerly items 2&3; CGS §22a-94 authorized the commissioner to prepare maps.
6	<p>Coastal Site Plan Supporting Files - Municipal</p> <p>Consists of application materials including but not limited to request for review, computations, comments from neighbors and other supporting documentation used in the review process. Arranged alphabetically by town, then by application.</p>	2 years from date of DEP comment letter	N/A	2 years from date of DEP comment letter	former 18b; CGS §22a-105.
7	<p>Coastal Site Plan Review Files - Municipal</p> <p>DEP comment letter and final plans. Arranged alphabetically by town, then by application. Arranged alphabetically by town.</p>	Permanent		Permanent/ Archival	formerly 18a; CGS §22a-105.
8	<p>Coastal Site Plan Review Monitoring Sheets - Municipal</p> <p>Data collection sheets used by DEP analysts in fulfillment of an on-going grant requirement to determine what information to include in yearly National Oceanic and Atmospheric Administration (NOAA) performance reports. Arranged alphabetically by town.</p>	Until performance report submitted to NOAA	N/A	Until performance report submitted to NOAA	Performance reviews submitted annually; formerly 18i; CGS §22a-105,
9	<p>Coastal Zoning Change Files - Municipal</p> <p>Correspondence regarding proposed zoning changes by municipalities that are inconsistent with an existing zone plan. Arranged alphabetically by town.</p>	Permanent		Permanent	former 18f; CGS §22a-105.

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10	Coastal Zone Mangement Complaint Files - Municipal Consists of complaints, comments and related correspondence. May include requests from the public to intervene in a town process for which there is no formal process in place to take action based on those types of requests. Arranged alphabetically by town, then by individual name.	2 years from date of action	N/A	2 years from date of action	formerly 18g; CGS §22a-105.
11	Harbor Management Plan Working Files - Municipal Consists of draft Harbor Management Plan, DEP comments , and response letters. Arranged alphabetically by town.	2 years after approval of plan	N/A	2 years after approval of plan	formerly 18e; CGS §22a-105.
12	Harbor Management Plans - Municipal Final plan received by DEP and notification of adoption. Arranged alphabetically by town.	Permanent	N/A	Permanent/ Archival	formerly 18d; CGS §22a-105, CGS §22a-113m.
B. GRANTS					
13	Grant Administration Files - Grant Awards to DEP Consisting of grants awarded by various federal and private sources to OLISP including but not limited to Federal Office of Ocean and Coastal Resources Management, Environmental Protection Agency, The Nature Conservancy, National Fish & Wildlife Foundation, etc. to fund coastal programs including but not limited to the Coastal Management Program; non-point source pollution program; and wetlands restoration projects. Records include but are not limited to final reports, grant product or department performance reports, plans and specifications when produced. Arranged by grant year	Permanent		Permanent	formerly items 8a.
14	Grant Administration Supporting Document Files - Grants to DEP Consisting of grants awarded by various federal and private sources to OLISP. Records include but are not limited to application materials (including budget and narrative), award letter, and federal review of the state's coastal management program. Arranged by grant year	5 years from termination of award		5 years from termination of award	formerly item 6; May have historical value, contact State Archivist prior to disposition.
15	Grant Administration Files - DEP Funded Grants, Awarded Consisting of federal and state grants awards administered by OSLIP including but limited to preparation of Municipal Coastal Programs and Harbor Management Plans, Coastal Site Plan Review programs; improvements to coastal coves & embayments; and Clean Water Fund for Long Island Sound Research projects. Records include but are not limited to final reports, plans and construction specifications. Arranged by grant year	Permanent		Permanent	formerly items 8a

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16	Grant Administration Files - DEP Funded Grants, Denied/Withdrawn Consisting of federal and state grants awards administered by OSLIP including but limited to preparation of Municipal Coastal Programs and Harbor Management Plans, Coastal Site Plan Review programs; improvements to coastal coves & embayments; and Clean Water Fund for Long Island Sound Research projects. Records include but are not limited to final reports, plans and construction specifications. Arranged by grant year	3 years from date denied/withdrawn		3 years from date denied/withdrawn	
17	Grant Administration Supporting Document Files - Grant by DEP Consisting of supporting documentation for federal and state grants administered by OLISP. Records include but are not limited to appropriate: funding source information (such as Federal funds, Bond funds, State General funds, etc.), requests for proposals, grant awards, correspondence related to approval of award and implementation of the project, and technical and financial reports submitted by the grantee to DEP. May also include, as appropriate: municipal grant application, contract, construction specifications, plans and permits, documentation of payments made (either lump sum or incremental). Arranged by grant year	5 years from date notified of project completed		5 years from date notified of project completed	formerly item 8b; May have historical value, contact State Archivist prior to disposition.
C. PERMITS					
18	Connecticut Tidal Wetland Boundary Files includes land surveys of tidal wetlands; original mylar maps used for hearing to determine the wetland boundaries, 1970-1982; and DEP's final decision approving the tidal wetlands boundary, c. 1971-72.	Permanent		Permanent / Archival	formerly 4 & 5; CGS §22a-30.
19	Hearing Records - Permit decisions Contains exhibits, pleadings and correspondence, transcriptions, and audio recordings. Final decisions are maintained permanently by the DEP Adjudications Division.	20 years from date of hearing		20 years from date of hearing	formerly item 17 (12f); no longer maintained in unit; retain series on schedule until all records that remain in unit are destroyed.
20	Permits - Approved Including but not limited to, original permits, certifications, certificates or authorizations as issued and Appendix A for approved permits (start notice), dated site photos, photos included with application, notice summary, permit summary, as-built drawings, GIS printout map, fee calculation plan, permit transfer, permit extensions, de minimus changes approval and associated plan for Structures, Dredging and Fill (CGS Sec. 22a-361), Tidal Wetlands (CGS Sec. 22a-32), Certificates of Permission (CGS Sec. 22a-363b), Water Quality Certifications (40 CFR Section 401), General Permit Authorizations (CGS Sec. 22a-361), Arranged alphabetically by town, then by name of applicant.	Permanent		Permanent / Archival	formerly item 14

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21	Permit Supporting Documentation - Approved Notice of application, notice of tentative determination, certification of receipt cards, letters, memos, notes, including preapplication materials and post-permit monitoring or inspection reports. Arranged alphabetically by town, then by name of applicant.	5 years from expiration date of permit, authorization, or certificate		5 years from expiration date of permit, authorization, or certificate	Formerly 15b
22	Permits - Denied/withdrawn Consisting of letter of withdrawal or rejection, site plans, location maps for enforcement purposes and dated site photos for Structures, Dredging and Fill (CGS Sec. 22a-22a-351), Tidal Wetlands (CGS Sec. 22a-32), Certificates of Permission (CGS Sec. 22a-363b), Water Quality Certifications (40 CFR Section 401), and General Permit Authorizations (CGS Sec. 22a-361) Arranged alphabetically by town, then by name of applicant.	Permanent		Permanent/ Archival	formerly item 16.
23	Permit Supporting Documentation - Denied/withdrawn Consisting of application file and supporting documentation exclusive of letter of withdrawal or rejection and dated site photos. Arranged alphabetically by town, then by name of applicant.	3 years from date of letter of withdrawal or rejection		3 years from date of letter of withdrawal or rejection	
24	Long Island Sound Sediment Quality Information Database (SQUID) A databases consisting of sediment quality information and characteristics to aid in evaluating options for handling the disposal of dredged materials by compiling all existing sediment quality information in a Geospacial Information System [GIS] format.	Continuously updated		Continuously updated	
25	Permit Supporting Documentation - Dredge sampling data Including maps that plot sampling locations with core designations / names and sediment sampling report data. Data is entered into SQUID) database.	6 months from date entered into database		6 months from date entered into database	formerly 15c.
D. ENFORCEMENT					
26	Complaint Files - No enforcement action taken Consisting of complaint forms of potential violations (i.e. filling in tidal wetlands, illegal dock construction or public access to beaches) reported by the public or a staff member, DEP staff reports, photographs of the alleged violation, warning letters to property owners, and staff field notes. Arranged alphabetically by town	10 years from the resolution of the complaint		10 years from the resolution of the complaint	Formerly 9.

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27	Complaint Files - Notice of violation (NOV)/enforcement orders issued Consisting of but not limited to, Consent Orders, Administrative Civil Penaty Notices, Removal Orders, Cease and Desist Orders, and other Unilateral Orders concerning regulated activities under CGS Secs. 22a-361, 22a-32, 22a-363b and 22a-108. Includes documentation developed before and after the issuance of an Enforcement Order such as dated photographs, enforcement summary sheets, proposed and final decision of the hearing officer; documentation of completed supplemental environmental projects (SEP) and closure memo/letter.	Permanent		Permanent/ Archival	formerly 11.
28	Complaint Files - Notice of Violation (NOV) /Enforcement Order Support Files Consisting of support documentation received or created during an enforcement case including, but not limited to, certified cards addressed to the respondent; letters, memos, and notes, undated photos, penalty calculation worksheets, consent order data sheet; and copies of proof of penalty payment.	20 years from the resolution of the violation		20 years from the resolution of the violation	formerly 12; Proof of penanlty payment record copy is with DEP's Financial Office.
E. COASTAL PROJECTS					
29	Aerial Photos - Coastal and riverine communities Original aerial photo transparencies and prints of coastal and riverine communities taken approximately every 5 years by an aerial photography company contracted by DEP. Currently, the series contains 1974, 1980, 1981, 1986, 1990, 1995, 2000, 2005 and black and white prints of 1968.	Permanent		Permanent/ Archival	formerly 8 (although used by every group).
30	Consultant Projects Files - Final product Products submitted by consultant produced for coastal projects such as wetland restoration, evasive species eradication including but not limited to as-built plans, reports or publications.	Permanent		Permanent/ Archival	
31	Consultant Projects Files - Contracts Original contract documents, bid documents, justification for award, correspondence, interim plans or documents, notes, payment information submitted by contractors for coastal projects such as wetland restoration, invasive species eradication, etc.	3 years from completion of project or agency audit, whichever is later		3 years from completion of project or agency audit, whichever is later	
32	DEP/OLISP Publication Production Records Original contracts, bid specifications, drafts, edits, notes, and background material	2 years from date of publication		2 years from date of publication	