

RECORDS RETENTION SCHEDULE

Form RC-050 (Revised 06/2008)



Connecticut State Library
 Office of the Public Records Administrator
 231 Capitol Avenue
 Hartford, CT 06106
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RETENTION SCHEDULE
 # **08-5-2**

AGENCY: Environmental Protection, Department of	ADDRESS: 79 Elm Street, Hartford, CT 06106
DIVISION / UNIT: Bureau of Water Protection and Land Reuse: Planning and Standards	

This schedule is: original
 revised
 If revised, previous retention schedule number(s): _____

RMLO (type or print): Veronica Ferriss	TITLE (type or print): VDM-III	APPROVED (RMLO): <i>Veronica M. Ferriss</i> (signature on file)	DATE: 8/11/08
APPROVED (State Archivist): <i>Mark H. Jones</i> (signature on file)	DATE: 8/11/08	APPROVED (Public Records Administrator): <i>Enice G. DiBella</i> (signature on file)	EFFECTIVE DATE OF SCHEDULE: 8-12-08

Item Number	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD			Notes & Citation
		Office (A)	Off-site ² (B)	Total (A + B)	
1	Municipal Wastewater Operator Certification Files (Approved) Consisting of but not limited to copies of applications, certificates, related correspondence, and the qualifications, educational background and test materials for various levels for individuals seeking to be certified as Wastewater Treatment Plant Operators. Files are organized alphabetically by name.	Until certificate revoked, replaced by a higher level or 2 years after last employment terminated	N/A	Until certificate revoked, replaced by a higher level or 2 years after last employment terminated	CGS Sec. 22a-416 and Regulations of Connecticut State Agencies (RCSA) Sec. 22a-416-1-10.
2	Municipal Wastewater Operator Certification Files (Failed or Withdrawn) Consisting of but not limited to copies of applications, certificates, related correspondence, and the qualifications, educational background and test materials for various levels for individuals seeking to be certified as Wastewater Treatment Plant Operators. Files are organized alphabetically by name.	2 years from date of decision	N/A	2 years from date of decision	CGS Sec. 22a-416 and Regulations of Connecticut State Agencies (RCSA) Sec. 22a-416-1-10.
3	Wastewater Treatment Facility Plans and Specifications Consisting of but not limited to final engineering plans, specifications and as-built construction drawings for municipal, state, and private wastewater treatment facilities, pump stations, sanitary sewers and other critical structures. Files are organized alphabetically by town.	Until superseded	N/A	Until superseded	CGS Sec. 22a-416 (no retention cited)

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)	
4	Wastewater Treatment Facility Reports (Municipal, State, and Private) Consisting of but not limited to planning documents, reports addressing municipal wastewater collections and treatment facility needs, correspondence related to the development of long range plans for municipal wastewater collection and treatment needs compiled as part of a municipal abatement order. Files are organized alphabetically by facility name.	Until superseded	N/A	Until superseded	Connecticut Environmental Policy Act (CEPA) CGS 22a-1a through 1(i) or National Environmental Policy Act (NEPA)
5	Wastewater Administrative Orders and Consent Orders (Municipal and Private) Consisting of but not limited to copies of orders issued by the Commissioner related to water pollution violations, potential water pollution problems, community pollution problems, municipal responses to those orders, order compliance letters, subsequent order modification requests submitted by the respondent and DEP's responses. Files are organized alphabetically by town.	15 years from date of issuance or final compliance, whichever is later	N/A	15 years from date of issuance or final compliance, whichever is later	CGS Sec 22a-424(f), Sec. 22a-428
6	Wastewater Treatment Plant Inspection Reports (Municipal & Private) and Notices of Violation [NOV] Consisting of but not limited to notes, correspondence between inspectors and treatment plant superintendents, and field inspection reports of violations discovered by field inspectors, citizens or from daily monitoring results or monthly operating reports of municipal and private wastewater treatment plants submitted to DEP; laboratory forms for submitting water samples for laboratory chemical analyses and the lab testing results/reports; inspection results recommendations and other reports. Files are organized alphabetically by town.	5 years from date of document	N/A	5 years from date of document	
7	Quadrennial Municipal Facilities Needs Survey Records related to future municipal fiscal needs for capital construction costs of municipal wastewater treatment facilities. Consisting of but not limited to documents and correspondence between towns and DEP staff. Files are organized numerically by year.	8 years or until updated, whichever is later	N/A	8 years or until updated, whichever is later	
8	Biennial Priority List Records related to future municipal fiscal needs for capital construction costs of municipal wastewater treatment facilities. Consisting of but not limited to detailed requests for funding and correspondence between towns and DEP staff. Files are organized numerically by year.	2 years from date adopted	N/A	2 years from date adopted	
9	Wastewater Treatment Facilities Monthly Operating Reports [MOR] (Municipal and Private) Consisting of but not limited to files detailing plant operations pursuant to permits issued including correspondence. Files are organized alphabetically by facility name.	5 years from date of report	N/A	5 years from date of report	CGS Sec. 22a-430 and Regulations of Connecticut State Agencies (RCSA) Sec. 22a-430-3 (j)(9)(B) (5 years for facility operators unless otherwise notified)

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10	Municipal Sewage Facilities Field Notes Consisting of but not limited to staff observations of a wastewater facility or a suspected wastewater related problem. Files are organized alphabetically by town.	5 years from date of document	N/A	5 years from date of document	
11	Municipal, State, and Private Wastewater Treatment Plant Discharge Permit Files Consisting of but not limited to permit applications, correspondence from treatment plant superintendents, and final permits formally issued by DEP. Files are organized alphabetically by town.	Until superseded	N/A	Until superseded	CGS Sec 22a-430 i (1) and (RCSA) Sec 22a-430-3 and 4. Permits issued for 5 years except some household and septic for 25 and 30 years
12	Aquifer Protection Area [APA] Program Files (Maps) Consisting of but not limited to documents relating to and including Level A maps which delineate detailed areas of aquifer contribution and recharge in stratified drift (sand and gravel deposits) and Level B maps which delineate approximations of these same areas that are submitted by drinking water companies serving more than 1,000 people. Files are organized alphabetically by town.	Permanent	N/A	Permanent	CGS Sec. 22a-354b - 354c and 354z; RCSA Sec 22a-354b
13	Aquifer Protection Area [APA] Program Files (Local Regulations) Consisting of but not limited to documents submitted to DEP for record. Files are organized alphabetically by town.	Until superseded	N/A	Until superseded	CGS Sec. 22a-354 o; RCSA 22a-354i-2 - 3 and 6 discuss local regulations and boundary amendments and exemptions
14	Aquifer Protection Area [APA] Program Files (Registration and Permits - State) Consisting of but not limited to approved, modified, suspended and revoked state registrations and permit documents submitted to DEP by regulated businesses to register and to obtain a permit for regulated activities in an APA. Files are organized alphabetically by town name.	Until superseded, revoked or expired	N/A	Until superseded, revoked or expired	CGS Sec. 22a-354p (g); RCSA 22a-354i-7; federal Clean Water Act (33 USC 1251 et seq.); Resource Conservation and Recovery Act (42 USC 6901 et seq.); RCSA 22a-354i-7 (e)(1) permits expire 5 years from the date the registration received by DEP. Expires if not renewed within five years. Must re-apply if regulated activity still occurring.
15	Aquifer Protection Area [APA] Program Files (Registration and Permits - Local) Consisting of but not limited to approved, suspended and denied local registration and permit documents submitted to DEP by municipalities concerning local permits of regulated activities in an APA for DEP approval. Files are organized alphabetically by town name.	5 years after date of expiration	N/A	5 years after date of expiration	CGS Sec. 22a-354p; includes all approved, suspended or denied permits; RCSA 22a-354i-7 (e)(1) permits expire 5 years from the date the registration received by DEP or municipal board; If not renewed within five years, no longer registered

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16	Aquifer Protection Area [APA] Program Files (APA Land Use Inventory) Consisting of but not limited to maps and data identifying potentially regulated activities in an APA. Files are organized alphabetically by town name.	Until superseded	N/A	Until superseded	CGS Sec. 22a-354e; guidelines developed for municipal board recommend updating inventory but do not require; initial inventories conducted 1999 and 2000
17	Aquifer Protection Area [APA] Program Files (Notices of Violation [NOVs]) Consisting of NOV orders and related correspondence issued by DEP in the event that the local board fails to enforce its aquifer protection regulations. Files are organized alphabetically by town name.	10 years after compliance	N/A	10 years after compliance	CGS Sec. 22a-354s
18	Aquifer Protection Area [APA] Program Files (Training, Education and Outreach Materials) Consisting of but not limited to materials related to technical training classes for members and staff of municipal boards on development of regulations, options for monitoring and enforcement, and site plan reviews; a joint ground water education program with the Department of Public Health through the UConn Cooperative Extension Service as well as other related topics. Files organized by topic and date.	5 years or until superseded	N/A	5 years or until superseded	CGS Sec. 22a-354k and v.
19	Toxicity Lab Data Files Used to determine compliance with NPDES permit limits including but not limited to reference toxicity tests, site water testing, and ambient monitoring organized by site; municipal facilities aquatic toxicity testing results submitted by contract laboratories and organized by facility; industrial facilities industrial sewage effluent aquatic toxicity testing data and reports performed by the toxicity laboratory and organized by facility; ambient surface water toxicity testing data and reports organized by sampling site and drainage basin; quality control reference toxicant testing data and reports organized chronologically; private laboratory reference toxicant testing data and reports organized by laboratory name; special project aquatic toxicity testing data and reports projects related to the development of water quality criteria organized by site; staff assessment reports and aquatic toxicity test results interpretation by site.	15 years from date data collected	Permanent	Permanent	
20	Aquatic Toxicity Monitoring Reports (ATMRs) Consisting of but not limited to reports submitted by industrial and municipal permittees performing toxicity tests, as required in their National Pollutant Discharge Elimination System (NPDES) permits. Municipal ATMR's are filed alphabetically by town, in chronological order. Industrial ATMR's are labelled with a basin code, a company name, NPDES ID No., etc., then filed alphabetically by company name with the town, NPDES ID No., and basin code on the file.	10 years from date of report	Permanent	Permanent	Retaining for two cycles. CGS Sec. 22a-430 and Regulations of Connecticut State Agencies (RCSA) Sec. 22a-430-3 (j)(9)(B) (5 years for facility operators unless otherwise notified)

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21	<p>Stormwater Monitoring Reports Including but not limited to date, exact place, and time of samples; name of individuals who performed the sampling; the dates analyses were performed; name of the individuals who performed the analyses; the analytical techniques or methods used; and the results of such analyses. Reports submitted prior to 1995 are organized by basin; Reports submitted after 1995 are organized by town and monitoring year.</p>	10 years after expiration of the permit, order or document requiring reports to be submitted	N/A	10 years after expiration of the permit, order or document requiring reports to be submitted	Retaining for two cycles (RCSA) Sec. 22a-430-3 (j)(9)(B) (5 years for facility operators unless otherwise notified)
22	<p>Lakes Program Files Consisting of but not limited to technical reports regarding lake water quality and water quality conditions, correspondence, contracts, and other documents relating to Connecticut's lakes. Arranged alphabetically by waterbody name.</p>	Permanent	N/A	Permanent	CGS Sec. 22a-339a;
23	<p>Lakes Program Grants Files Consisting of but not limited to grant agreements, contracts, reports and other related documents for federally funded grants through the Federal Clean Water (FCWA) Act Section 314 Grants Clean Lakes Program.</p>	10 years after submission of the final Financial Status Report unless otherwise directed by the EPA	N/A	10 years after submission of the final Financial Status Report unless otherwise directed by the EPA	CGS Sec. 22a-339a; (RCSA) Sec. 22a-430 (no retention) 40 CFR 35.6700 re Federal Clean Water (FCWA) Act Section 314 Grants Clean Lakes Program. Funding ended 10 years ago (ca. 1998). Retain on schedule until all documents past retention period and disposition completed.
24	<p>Housatonic River PCB Management Program Files Management files related to the cooperative agreements between CT DEP and GE to study and monitor PCB's in the CT portion of the Housatonic River (including Housatonic Lakes). Consisting of but not limited to documents including technical PCB monitoring reports, sediment transport and creel studies. Consent Decree files related to the remediation portion of the 2000 US District Court sanctioned Consent Decree between state and federal agencies for the GE-Pitsfield Housatonic River Site concerning PCB remediation and restoration fund. Consisting of but not limited to reports, comments, correspondence and other related documents. US EPA identified CT DEP as the repository for these documents that pertain to CT interests such as in-river and floodplain remediation and NPDES stormwater permits. Early report files including but not limited to background and history of PCB issue and negotiation.</p>	Permanent	N/A	Permanent	

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25	Total Maximum Daily Load (TMDL) Files Consisting of but not limited to data, engineering analyses and reports detailing the development of specific TMDL's which assess the maximum capacity of a waterbody to assimilate a pollutant and recommend a plan to apportion that capacity between sources of that pollutant. Also includes Long Island Sound (LIS) National Estuarine Program Files consisting of but not limited to the adoption of the LIS Total Maximum Daily Load. Files organized alphabetically by waterbody name.	Until superseded	N/A	Until superseded	Federal Clean Water Act (FCWA) Section 303(d);
26	Waste Load Allocation (WLA) Water Quality Models Files related to the development of water quality models used to establish treatment limits for advanced wastewater treatment at wastewater treatment plants. Files organized by waterbody name.	Until superseded	N/A	Until superseded	
27	Waste Load Allocation (WLA) Intensive Survey Files Consisting of but not limited to sampling data collected during sampling surveys and used to develop water quality models and establish treatment limits. Files organized chronologically by waterbody name.	Permanent	N/A	Permanent	
28	Long Island Sound (LIS) National Estuary Program Water Quality Monitoring Data Consisting of but not limited to data to evaluate low oxygen and nutrient conditions in LIS. Files organized chronologically by date.	Permanent	N/A	Permanent	Clean Water Act Section 320; CTDEP is a federally mandated repository
29	Long Island Sound Study (LISS) National Estuary Program Reports (Record Copy) Consisting of but not limited to reports containing scientific studies on the condition of LIS and related public outreach and education.	5 years	Permanent	Permanent	
30	Long Island Sound (LIS) National Estuary Program Grants Consisting of but not limited to final output reports relating to DEP's distribution of grants to municipalities, EPA, DEP and New York Department of Environmental Conservation (DEC) for LIS research and management projects. Files organized chronologically by date.	10 years after submission of the final Financial Status Report unless otherwise directed by the EPA	N/A	10 years after submission of the final Financial Status Report unless otherwise directed by the EPA	40 CFR 35.6705
(S1-165)	Nitrogen Credit Advisory Board Minutes Concerning the board's role to assist and advise the commissioner in administering the nitrogen credit exchange program.	Permanent	N/A	Permanent	

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31	Nitrogen Credit Exchange Program Data Consisting of but not limited to data concerning the reduction of nitrogen from seventy-nine publicly owned Sewage Treatment Plants (STPs) under a General Permit issued in 2002 to insure compliance with the Total Maximum Daily Load (TMDL) for nitrogen discharged into Long Island Sound. The Nitrogen Credit Exchange Program allows facilities that elect to defer construction of nitrogen treatment to remain in compliance with the General Permit by purchasing nitrogen credits while paying those that exceed the standard. Files organized alphabetically by facility name.	Permanent	N/A	Permanent	CGS sec. 22a-522 through 537;
32	Watershed Management Unified Watershed Assessment (UWA) Files Consisting of but not limited to records containing water quality and land use data used to compile the report pursuant to EPA's Clean Water Action Plan Unified Watershed Assessment (UWA). Watershed information may be sorted by watershed /basin or alternatively by municipality or other geographic or cultural regions. Files organized by watershed name.	Until superseded	N/A	Until superseded	Part of section 319 funding
33	Watershed Management Basin Files Consisting of but not limited to reports, studies, management plans, water quality data and maps organized by regional watershed including the Southwestern, Central, Connecticut, Housatonic and Thames Rivers watersheds. Information may be sorted by watershed /basin or alternatively by municipality or other geographic or cultural regions. Files organized by watershed name.	Permanent	N/A	Permanent	Part of section 319 funding
34	Watershed Management Other Files Consisting of but not limited to correspondence, press releases, meeting notes, field notes and staff memos. Watershed information may be sorted by watershed /basin or alternatively by municipality or other geographic or cultural regions.	10 years from date created	N/A	10 years from date created	Part of section 319 funding.
35	Rivers Program Municipal Grant Project Files Consisting of but not limited to applications for funds for specific river long-term restoration projects and project histories. Files organized by waterbody name.	Until superseded or grant closed	N/A	Until superseded or grant closed	River Restoration Grant Program CGS 22a-477(2)
36	Rivers Program Files Consisting of but not limited to policy and operation information and reports related to the formation of the rivers program. Files organized by waterbody name.	Permanent	N/A	Permanent	

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37	Water Quality Assessment Files Consisting of but not limited to summaries of water quality monitoring analysis submitted as annual reports to USEPA describing the status of Connecticut's waters, its attainment of state adopted water quality standards, and activities and accomplishments relating to the attainment of water quality goals in Connecticut. Files organized chronologically by date.	15 years from date created	Permanent	Permanent	CGS 22a-424 and the Federal Clean Water Act (FCWA) Sec. 305(b) submitted electronically
38	Water Quality Monitoring Data Consisting of but but not limited to Biological Monitoring Data such as Benthic invertebrate sampling data; Benthic invertebrate sampling data; Assessment memoranda interpreting monitoring data; Fish Tissue and Sediment Testing Data to ensure the safety of fish for eating including fish tissue sampling data and laboratory analyses of fish tissue organized by sample site and drainage basin; Sediment sampling data and chemical analyses organized by site location and drainage basin; Physical/Chemical Monitoring Data; Water quality monitoring data organized by sampling location and drainage basin; Historic Water Quality Data; Intensive Survey Data; Dioxin DataRivers; Sampling Data and related correspondence. Arranged chronologically within drainage basin and/or sampling location.	Permanent	N/A	Permanent	
39	Impaired Waterbodies Files Consisting of but not limited to correspondence, public participation records, reports and mapping files regarding Connecticut waters that do not meet standards of federal Clean Water Act. Files organized alphabetically by waterbody name.	Permanent	N/A	Permanent	Federal Clean Water Act (FCWA) Section 303(d)
40	Biological Criteria Development Files Consisting of but not limited to data and reports related to biological criteria development for interpretation of monitoring files collected by DEP. Files organized chronologically by date.	Permanent	N/A	Permanent	
41	Beach Monitoring Information Consisting of but not limited to maps, land use, and sanitary surveys related to state operated public beaches in Connecticut; beach sampling laboratory results and chain of custody forms; and bathing water sanitation monitoring summaries. Files organized by location then chronologically by date.	Permanent	N/A	Permanent	
42	Monitoring Contract Files Consisting of but not limited to annual joint funding agreements, amendments and correspondence related to ambient monitoring gaging stations and research projects with USGS. Funding agreements and correspondence with the Environmental Research Institute of the University of Connecticut related to environmental testing, monitoring and research projects. Files organized by location.	3 years, or until audited whichever is later	N/A	3 years, or until audited whichever is later	

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43	Water Supply Plan (WSP) Files Consisting of but not limited to review reports, review letters and letters of approval for water supply plans, well abandonments, and Water Utility Coordinating Committee plans submitted for approval to DEP from regulated water utilities. Approximately 80 companies are represented in this series. Files are organized alphabetically by company.	Until superseded	N/A	Until superseded	CGS 22-33e through 25-33j and RCSA 25-33h-1
44	Bureau of Water Protection and Land Reuse Strategic Plans Consisting of but not limited to five year planning goals and milestone objectives for the Water Protection and Land Reuse, as well as annual operational and budget plans. Files organized chronologically by date.	Until superseded	Permanent	Permanent	
45	Non-Point Source (NPS) Programs Grant Files Consisting of but not limited to agreements between DEP and EPA Region 1; workplans, budgets, contracts, status reports, Quality Assurance Protection Plans (QAPPs), Grant Reporting Tracking System (GRTS) and payments; correspondence; mid year and annual report to EPA Region 1; RFP's and review comments; and manuals and technical reports created as part of the grant. Files organized chronologically by date.	3 years after date final report submitted	N/A	3 years after date final report submitted	Federal Clean Water Act (FCWA) Sec. 319; 40 CFR 31
46	Water Quality 604b Program Grant Files Consisting of but not limited to grant agreements between DEP and EPA Region 1, correspondence, mid and annual reports to EPA Region 1, project files consisting of workplans, budgets, contracts, status reports, QAPPs, and payment records; RFPs and review comments, and manuals, technical reports, and other related documents created as part of the grant to support unified watershed assessments and watershed restoration priorities. Files organized chronologically by date.	3 years after date final report submitted	N/A	3 years after date final report submitted	Federal Clean Water Act (FCWA) Sec 604b; CFR 31