

**RECORDS RETENTION SCHEDULE**

Form RC-050 (Revised 11/2008)

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**RETENTION SCHEDULE**  
**# 09-11-1**

<b>AGENCY:</b> Office of State Ethics	<b>AGENCY ADDRESS:</b> 18-20 Trinity Street, Hartford, CT 06106	This schedule is: <input type="checkbox"/> original <input checked="" type="checkbox"/> revised  If revised, superseded retention schedule number(s): 06-6-1
<b>PROGRAM / UNIT:</b> Agency-wide		

<b>RMLO (type or print):</b> Patrick J. Lamb	<b>TITLE (type or print):</b> Assistant General Counsel	<b>APPROVED (State Archivist):</b> Mark H. Jones (signature on file)	<b>DATE:</b> 10/5/09
<b>APPROVED (RMLO):</b> Patrick J. Lamb (signature on file)	<b>DATE:</b> 9/21/09	<b>APPROVED (Public Records Administrator):</b> LeAnn R. Power (signature on file)	<b>EFFECTIVE DATE OF SCHEDULE:</b> 10/7/09

ITEM NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
1.	<b>Advisory Opinions</b> Consists of records that document advisory opinions issued by the Office of State Ethics. Including but not limited to: requests for advisory opinions, informal staff letters, and advisory opinions.	Permanent [CGS §1-81(a)(2)]	- 0 -	Permanent / Archival [CGS §1-81(a)(2)]	
2.	<b>Allegations of Conduct</b> Consists of records that document allegations of misconduct outside the Office of State Ethics jurisdiction. Including but not limited to: allegations and related documents.	1 year from date of receipt	- 0 -	1 year from date of receipt	
3.	<b>Citizen's Ethics Advisory Board Appointment / Resignation Letters</b> Consists of records that document appointments to, and resignations from, the Citizen's Ethics Advisory Board and the State Ethics Commission.	10 years from date of receipt	- 0 -	10 years from date of receipt	
4.	<b>Citizen's Ethics Advisory Board Hearing Records</b> Consists of records that document hearings of the Citizen's Ethics Advisory Board and the State Ethics Commission.	5 years from date of hearing	- 0 -	5 years from date of hearing	Pursuant to CGS Sec. 1-93(d), complaints must be filed within 5 years after the violation alleged in the complaint has been committed.
5.	<b>Preliminary Investigations Files – Confidential</b> Consists of confidential records that document investigations of potential ethics violations that do not lead to the issuance of formal complaints. Including but not limited to: informal interviews, drafts, legal memos, notes, and consent orders.	2 years from date case closed	- 0 -	2 years from date case closed	Pursuant to CGS Sec. 1-93a(b), investigations conducted prior to a probable cause finding shall be confidential except upon the request of the respondent.

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6.	<b>Preliminary Investigations Files – Non-Confidential</b> Consists of non-confidential records that document investigations of potential ethics violations that do not lead to the issuance of formal complaints. Including but not limited to: informal interviews, drafts, legal memos, notes, and consent orders.	5 years from date case closed	- 0 -	5 years from date case closed	
7.	<b>Complaint Files – Confidential</b> Consists of confidential records that document investigations of potential ethics violations that lead to the issuance of formal complaints. Including but not limited to: informal interviews, subpoenas for documents, complaints, amended complaints, drafts, legal memos, notes, testimony under oath, and consent orders.	2 years from date case closed	- 0 -	2 years from date case closed	Pursuant to CGS Sec. 1-93a(a), complaints shall be confidential except upon the request of the respondent.
8.	<b>Complaint Files – Non-Confidential</b> Consists of non-confidential records that document investigations of potential ethics violations that lead to the issuance of formal complaints. Including but not limited to: informal interviews, subpoenas for documents, complaints, amended complaints, drafts, legal memos, notes, testimony under oath, and consent orders.	5 years from date case closed	- 0 -	5 years from date case closed	
9.	<b>Legal Defense Fund Reports</b> Consists of reports submitted by any public official or state employee who establishes a legal defense fund, or for whom a legal defense fund has been established, to the Office of State Ethics.	5 years from date of receipt [CGS §1-92(d)]	- 0 -	5 years from date of receipt [CGS §1-92(d)]	See CGS §1-86d for information contained in the legal defense fund reports.
10.	<b>Lobbyist Filing Records</b> Consists of records that document the registration and filings of lobbyists in Connecticut. Including but not limited to: lobbyist registrations, lists of lobbyists, financial reports of lobbyists, expert witness statements of intent, and notices to individuals in lobbyist reports.	5 years from date of receipt [CGS §1-92(d)]	- 0 -	5 years from date of receipt [CGS §1-92(d)]	Pursuant to CGS Sec. 1-94, lobbyists must register with OSE.
11.	<b>Lobbyist Filing Audit Records</b> Consists of records that document audits of registration and filings of lobbyists in Connecticut. Including but not limited to: preliminary reviews, field examinations, post-audit reports, and corrective actions (if any).	5 years from date of receipt [CGS §1-92(d)]	- 0 -	5 years from date of receipt [CGS §1-92(d)]	Pursuant to CGS Sec. 1-96a, OSE may audit any registrant to verify financial reports (registrants shall keep substantiating documents for three years from the date of the filing of the report).
12.	<b>Probable Cause Hearing Records</b> Consists of records that document probable cause hearings. Including but not limited to: record of probable cause hearings and memorandums of decision.	5 years from date of receipt [CGS §1-81(a)(2)]	- 0 -	5 years from date of receipt [CGS §1-81(a)(2)]	Pursuant to CGS Sec. 1-93a(e), OSE shall make public a finding of probable cause not later than five business days after any such finding.

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13.	<p><b>Public Officials and State Employee Filing Records</b></p> <p>Consists of records that document the filings of elected public officials and state employees pursuant to CGS §1-83. Including but not limited to: statements of financial information (SFI), confidential addenda for SFI, conflict of interest statements (CGS §1-86), ethics statements, reports of items of value (CGS §1-84(o)), and public official necessary expense forms.</p>	5 years from date of receipt [CGS §1-81(a)(2)(b)]	- 0 -	5 years from date of receipt [CGS §1-81(a)(2)(b)]	
14.	<p><b>Statements and Reports</b></p> <p>Consists of statements and reports filed by, and with, the Office of State Ethics.</p>	5 years from date of receipt [CGS §1-92(d)]	- 0 -	5 years from date of receipt [CGS §1-92(d)]	