

# RECORDS RETENTION SCHEDULE

Form RC-050 (Revised 01/2010)



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

## RETENTION SCHEDULE

# 11-8-1

- 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.
- 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.
- DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

<b>AGENCY:</b> Office of State Ethics	<b>AGENCY ADDRESS:</b> 18-20 Trinity Street, Hartford CT 06106	This schedule is: <input type="checkbox"/> new <input checked="" type="checkbox"/> revised
<b>PROGRAM / UNIT:</b> ALL		If revised, superseded schedule number(s): 09-11-1

<b>RMLO (type or print):</b> Diane P. Buxo	<b>TITLE (type or print):</b> Paralegal	<b>APPROVED (State Archivist):</b> <i>Mark H. Jones</i>	<b>DATE:</b> 5/10/2011
<b>APPROVED (RMLO):</b> <i>Diane P. Buxo</i>	<b>DATE:</b> 5-6-11	<b>APPROVED (Public Records Administrator):</b> <i>J. Ann. Pavel</i>	<b>EFFECTIVE DATE:</b> 5/17/2011

SERIES 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	

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
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.
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.

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
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.
13.	<b>Public Officials and State Employee Filing Records</b> 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, state marshal financial statements, conflict of interest statements (CGS §1-86), ethics statements, reports of items of value (CGS §1-84(o)), and public official necessary expense forms.	5 years from date of receipt [CGS §1-81(a)(2)]	- 0 -	5 years from date of receipt [CGS §1-81(a)(2)]	
14.	<b>Statements and Reports</b> Consists of statements and reports filed by, and with, 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)]	