

RECORDS RETENTION SCHEDULE

RC-50, Revised 5/1999

(Return to Public Records Administrator)



STATE OF CONNECTICUT
 Connecticut State Library
 PUBLIC RECORDS ADMINISTRATION
 231 Capitol Ave., Hartford, CT 06106

FOR OFFICE USE ONLY

Retention Schedule # 00-13-1

Agency: Department of Environmental Protection	Address: 79 Elm Street, Hartford, CT 06106-5127
Division or Unit: Bureau of Water Management	Permitting, Enforcement & Remediation Division

This schedule is: ① original; ① revised.
 If revised, enter previous retention schedule number here: # _____
 Page 1 of 14 pages

ITEM NUMBER (i.e. S1-065)	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD		ARCHIVAL DESIGNATION (to be filled in by State Archivist)
		Office	Records Center or approved off-site facility ²	
	1. Wastewater Discharge Permits and related authorizations. All public records associated with applications for permits, permit renewals, and permit modifications, and with permit revocations or suspensions.			
	a. Applications for permits and related authorizations:			
	1) Applications for permits, related authorizations denied	5 years		
	2) Applications for permits, related authorizations granted	Permanent		
	b. Individual and general permits, registrations under general permits, permit modifications, permit revocations and emergency and temporary authorizations issued pursuant to Conn. Gen. Stat. Sec. 22a-6k.	Permanent		
	c. Tentative determinations pursuant to Conn. Gen. Stat.	5 years after permit issued or denied		

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Approved (Agency Records Management Liaison Officer) <i>Victoria N. Wentworth</i>	Typed Name of RMLO: Victoria N. Wentworth	Title: Agency RMLO	Date: 9/21/00
Approved (State Archivist) <i>Mark St. Jones</i>	Date: OCT 02 2000	Approved (Public Records Administrator): <i>Lewis G. DiBella</i>	Effective Date of Schedule: OCT 02 2000

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		Office	Records Center or approved off-site facility ²	
	Sec. 22a-6h of permit actions by the Department including any public notices and any fact sheets supporting tentative determinations.			
	d. Certificates of Publication.	5 years after permit issued or denied		
	e. Approvals and disapprovals issued by the Department of reports, plans and other documents submitted as part of the application process or as required by the permit.	10 years after permit expiration		
	f. Report and Recommendation to Commissioner - Water Management Bureau memo to the Commissioner summarizing public comments on permit application and recommending action thereon, when application is not a contested case.			
	1) Permit granted	10 years after permit expiration		

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Approved (State Archivist) <i>Mark H. Jones</i>	OCT 02 2000	Approved (Public Records Administrator): <i>James A. DiBella</i>	Effective Date of Schedule: OCT 02, 2000

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		Office	Records Center or approved off-site facility ²	
	2) Permit denied	5 years		
	g. Final Determination - a memo from the Commissioner back to the bureau directing that appropriate action be taken (granting or denying) on the permit application, when the application is not a contested case.	10 years after permit expiration		
	h. Denials of applications for permits or permit modifications.	5 years		
	i. Notice of Insufficiency - letter from the Department identifying deficiencies in permit applications	5 years		
	j. Rejection for Incompleteness - letter from the Department rejecting permit application for incompleteness.	5 years		
	k. Correspondence and internal review letters generated in the	5 years from denial; 10 years after expiration		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: OCT, 02 2000	Approved (Public Records Administrator): <i>Lynise J. DiBella</i>	Effective Date of Schedule: OCT 02 2000

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		Office	Records Center or approved off-site facility ²	
	course of Department review of an application.			
	l. Documents submitted by the permittee to comply with a permit requirement, other than Discharge Monitoring Reports (DMRs).	10 years after expiration of permit		
	m. Correspondence from or regarding a specific facility, or regarding the permit program, not included in any category herein.	5 years		
	2. Enforcement - all public records associated with enforcement actions originating in the Division.			
	a. Administrative orders, referrals to the Attorney General or State's Attorney or EPA, and supporting documentation (Enforcement Action Summary, Department penalty calculations, Consent Order	Permanent		PERMANENT/ARCHIVAL

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: OCT 02 2000	Approved (Public Records Administrator): <i>Denise J. DiBella</i>	Effective Date of Schedule: OCT 02 2000

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		Office	Records Center or approved off-site facility ²	
	Data Sheet, Case Milestone Summary, etc.).			
	b. Notices of Violations and warning notices.	Permanent		
	c. All actions taken by the Department on administrative orders including order modifications, revocations and letters of final compliance.	Permanent		PERMANENT/ARCHIVAL
	d. Internal and external correspondence relating to specific enforcement actions, including correspondence within DEP and with the Attorney General's Office, EPA, and the State Attorney's Office.	5 years from final disposition of the enforcement action		
	e. Documents submitted by violators in compliance with the requirements of final orders or judgments.	20 years		
	f. Approvals and disapprovals issued by the Department, of reports, plans and other documents submitted as	10 years after final disposition of the enforcement action		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>OCT 02 2000</i>	Approved (Public Records Administrator): <i>Ernie J. DiBella</i>	Effective Date of Schedule: <i>OCT 02 2000</i>

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		Office	Records Center or approved off-site facility ²	
	required by enforcement action.			
	g. Correspondence from or regarding a specific facility, or regarding the enforcement program not included in any category herein.	5 years		
	3. Remediation Programs:			
	a. 1) Forms I, II, III, IV and Environmental Condition Assessment Forms (ECAFs) under the Property Transfer Act (Sec. 22a-134 and 134a through 134c); 2) Final approved remedial action plans; 3) Final approved remedial action reports.	Permanent		
	b. Environmental Land Use Restrictions (Sec. 22a-133m through 133r). Land use restrictions are allowed when a			

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: <i>OCT 02 2000</i>	Approved (Public Records Administrator): <i>Lennie G. DiBella</i>	Effective Date of Schedule: <i>OCT 02 2000</i>

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		Office	Records Center or approved off-site facility ²	
	site is cleaned up to less than residential criteria.			
	1) Land use restriction itself.	Permanent		
	2) Correspondence related to land use restriction.	5 years		
	c. Licensed Environmental Professional (LEP) Program (Sec. 22a-133v). Documents related to work done by LEPs:			
	1) All documents verified by an LEP.	Permanent		
	2) All other documents. (Not including documents related to the licensing of individual persons - see below.)	5 years		
	d. Covenants Not to Sue (Sec. 22a-133aa, 133bb and 133cc).			
	1) Covenants, applicants	Permanent		

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		Office	Records Center or approved off-site facility ²	
	2) Denials	2 years		
	e. Significant Hazard notifications (Sec. 22a-6u). Under this section, property owners and other parties in limited circumstances are required to notify the Department when they become aware of significant hazards on or emanating from their property.	10 years		
	f. LEP Program Licensing Activities. Correspondence related to Board business, correspondence with test development contractors, test forms and questions. <u>Note: all test development documents must be kept confidential.</u>			
	1) Application and license if license is denied.	2 years		
	2) Application and license if license is issued.	Upon retirement or death of licensee		

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		Office	Records Center or approved off-site facility ²	
	3) Other correspondence	2 years		
	g. State Superfund Programs (Sec. 22a-133a through 133g). Under this program the Department uses State bond funds to clean up heavily contaminated sites where no viable responsible party can be found.			
	1) Decision document	Permanent		
	2) Other correspondence	5 years after site cleanup		
	h. Remediation Standard Regulations (Sec. 22a-133k(1) through 133k(3), RCSA): requests for variances from these regulations and associated letters, reports, and memoranda.			
	1) Variance	Permanent		

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Approved (State Archivist) <i>Mark H. Jones</i>	Date: OCT 02 2000	Approved (Public Records Administrator): <i>Lucie A. DiBella</i>	Effective Date of Schedule: OCT 02, 2000

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		Office	Records Center or approved off-site facility ²	
	2) All other documents	5 years from disposition.		
	i. Potable Water Program (Sec. 22a-471) - CROG bottled water, other general potable water related correspondence, not site specific.	5 years		
	j. Correspondence from or regarding a specific facility, or regarding the remediation program not included in any other category herein.	5 years		
	4. Federal Program Records - including site specific and non-site specific program records relating to DEP administration of the following programs: National Pollutant Discharge Elimination System (NPDES), Pretreatment, Underground Injection Control (UIC), Comprehensive Environmental Response, Conservation and Liability Act (CERCLA) (a/k/a federal Superfund).			

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	a. The following records relating to EPA's delegation of program responsibility to DEP: Memorandum of Agreement between EPA and DEP, the Program Description prepared by the Department, and the Attorney General's Statement prepared by the Attorney General.	Permanent		
	b. Annual agreements between EPA and DEP establishing program commitments: Memorandum of Understanding in the NPDES program, the Performance Partnership Agreement and the NPDES Compliance Strategy.	Permanent		
	c. Correspondence with EPA concerning delegated and non-delegated federal programs.	5 years		
	d. Documents reflecting Hazard Ranking System scores generated by EPA or DEP	5 years		

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	pursuant to CERCLA and related documents. These records are confidential until the site is listed on the National Priorities List by EPA or a determination is made by EPA that the site should not be listed.			
5.	DEP reports of program information, and statistics:			
	a. Quarterly Non-Compliance Reports as based on raw data submitted by permittees and DEP monitoring information.	Until superseded		
	b. Status reports on violator compliance with administrative enforcement.	Until superseded		
	c. Contaminated well and bottled water lists (lists of wells known to be contaminated, and residences being provided with bottled water by the DEP.)	Until superseded		

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6.	Records of Department compliance inspections, complaint investigations, environmental site assessments, and related activities, such as:			
	a. Field reports, Site Inspection reports, assessment reports, compliance inspection reports	50 years		May be appraised as archival. Contact State Archivist at CSL.
	b. Field notes	Retained for as long as the formal reports into which they are incorporated.		
	c. Sample results	50 years		May be appraised as archival. Contact State Archivist at Connecticut State Library.
	d. Photographs, videos	50 years		May be appraised as archival. Contact State Archivist at CSL.
7.	Monitoring reports and related correspondence concerning water, wastewater and soil samples submitted by dischargers, responsible parties and others outside the Department, such as:			
	a. Discharge Monitoring Reports	20 years after expiration of		

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 If revised, enter previous retention schedule number here: # _____

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ITEM NUMBER (i.e. S1-065)	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD		ARCHIVAL DESIGNATION (to be filled in by State Archivist)
		Office	Records Center or approved off-site facility ²	
	(DMRs) of effluent samples and other monitoring reports.	the permit, order or document that requires the reports to be submitted.		
	b. Other effluent or ambient monitoring data not required to be submitted.	10 years		
	c. Summary reports of other monitoring data previously submitted	5 years, or until superseded by next report, whichever is earlier.		
	d. Letters to or from Department staff regarding monitoring and reporting procedures, correcting errors, etc.	10 years		
	8. Drafts of administrative orders, discharge permits, or referrals to the Attorney General's office.	20 years after final order, permit or referral; or most recent draft, if final action was never taken.		
	9. Program administration and development documents, including memos or letters to and from staff or other programs or agencies; documents relating to policies, legislation or regulations; not included in any other category herein.	5 years.		

¹ 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 Records with a permanent retention period cannot be stored at the 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.

Approved (Agency Records Management Liaison Officer) <i>Victoria N. Wentworth</i>	Typed Name of RMLO: Victoria N. Wentworth	Title: Agency RMLO	Date: 9/21/00
Approved (State Archivist) <i>Mark H. Jones</i>	Date: OCT 02 2000	Approved (Public Records Administrator): <i>Genese L. DiBella</i>	Effective Date of Schedule: OCT 02 2000