

STATE RECORDS RETENTION SCHEDULE  
S1: ADMINISTRATIVE RECORDS  
(Revised: 05/2014)



STATE OF CONNECTICUT  
Connecticut State Library  
Office of the Public Records Administrator  
231 Capitol Avenue, Hartford, CT 06106  
<http://www.ctstatelibrary.org/>

1. **SCOPE:** This schedule lists records common to administrative functions of state agencies. It applies to state agencies in the executive branch, as well as certain quasi-public agencies and is used in conjunction with [General Schedules](#) S1 through S10 and relevant agency schedules.
2. **AUTHORITY:** The Office of the Public Records Administrator issues this schedule under the authority granted by sections 11-8 and 11-8a of the *General Statutes of Connecticut* (CGS).
3. **SUPERSEDEENCE:** This schedule supersedes *State Agencies' Records Retention/Disposition Schedule S1: Administrative Records* (01/2010).
4. **COMMON DEFINITIONS:**  
See [Records Management Terms](#) for additional definitions.
  - **ACTIVE RECORD:** "A record needed to perform current operations, subject to frequent use, and usually located near the user." [Source: Association of Records Managers and Administrators (ARMA)]
  - **ESSENTIAL RECORD:** "Records necessary to respond to an emergency; to reestablish normal operations after any such emergency; to protect the rights and interests of the agency and the individuals or entities served by the agency; to document the history of Connecticut, its communities and its citizens; or that would require massive resources to reconstruct." [Source: Office of the Public Records Administrator (OPRA)]
  - **INACTIVE RECORD:** "A record no longer needed to conduct current business but preserved until it meets the end of its retention period." [Source: ARMA]
  - **NON-RECORD:** "Item that is not usually included within the scope of official records." Examples of non-records are extra (duplicate) copies kept only for convenience, reference materials, and blank forms. [Source: Society of American Archivists (SAA)]
  - **OFFICIAL RECORD COPY:** "The specific copy of a public record, as provided in CGS § 1-200(5), designated by the public agency as the legally recognized copy that must be maintained for records retention, preservation and authentication." [Source: OPRA]
  - **PUBLIC RECORD:** "Any recorded data or information relating to the conduct of the public's business prepared, owned, used, received or retained by a public agency, or to which a public agency is entitled to receive a copy by law or contract under section 1-218, whether such data or information be handwritten, typed, tape-recorded, printed, Photostatted, photographed or recorded by any other method." [Source: CGS §1-200(5)]
  - **RECORDS CUSTODIAN:** "The individual or organization having possession of and responsibility for the care and control of material." [Source: SAA]
  - **RECORDS SERIES:** "A group of related records filed/used together as a unit and evaluated as a unit for retention purposes (e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.)." Records on this schedule are arranged by records series. [Source: SAA]
5. **RETENTION PERIODS:** Retention periods listed on this schedule are based on the records' administrative, fiscal, legal, and historical values, as well as statutory or regulatory requirements. In most instances the established period sets the minimum retention requirement. This office strongly recommends applying disposition to all records once the retention period has been met. However, some records have maximum retention periods set by federal or state statutes or regulations and **must** be destroyed at the end of the retention period. Please note that any statute or regulation listed in brackets in the "Retention" column indicates the legal citation that mandates the retention period.

If a records series has a retention of period of "Permanent" and a disposition of "Retain in agency or transfer to State Archives," the agency may request approval to transfer the records to the State Archives or an approved archival repository once the records are inactive. If a records series has a note that states, "May contain

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historical value,” the agency should contact the State Archives for archival review before requesting disposition of the records. Not all such records will be determined to be archival; conversely, some records without this statement might have archival value. See General Letter #2009-1 to transfer records to the State Archives.

6. **FORMAT:** Retention periods listed on this schedule apply to the official record copy, whether in paper, electronic, or other format. If records are maintained only in an electronic system, the records custodian must be able to retrieve and interpret the content for the retention period.
7. **DISPOSITION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108), which is used to request permission to destroy or transfer records that have met the retention period. The agency Records Management Liaison Officer (RMLLO), the State Archivist, and the Public Records Administrator must sign the authorization form *prior* to destruction or transfer of records. The Office of the Public Records Administrator cannot grant continuing approval to destroy records on an ongoing basis. No records may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigations; investigations; audits; or other cases, claims, or actions. Note that if there is a destruction hold placed on records, the retention period does not change and that once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-108. For records that have a disposition of “Retain in agency or transfer to State Archives,” the agency may transfer the records to the Connecticut State Archives or another approved archival repository. See Public Records Policy 05 for the disposition of records and General Letter #2009-1 for the transfer of records to the State Archives.  
**DISPOSITION DUE TO REFORMATTING:** In certain circumstances, records custodians may request permission to dispose of original records that have been imaged or microfilmed provided the public agency is in compliance with the State Library’s *Digital Imaging Policy* or *Microfilming Policy*.
8. **ESSENTIAL RECORDS:** Common essential records have been designated on this retention schedule. However, agencies have different operational needs and may wish to designate additional record and/or records series listed here as an Essential Record. Agencies should include essential records as part of the agency’s continuity of operations plan [COOP]. Each agency should have a Records Emergency Action Plan [REAP] to protect against loss of or damage to essential records in the event of a disaster.
9. **CROSS REFERENCES:** Series numbers enclosed in parentheses indicates that a series listed on this schedule has the same function and falls under the record series with that number on another general retention schedule.
10. **OBSOLETE RECORDS:** Records series designated on this schedule as “OBSOLETE” or “SERIES CLOSED” are generally no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed.
11. **AUDIT REQUIREMENTS:** Under the Single Audit Act (31 USC 7501), audit requirements apply to federal, state, and local programs. The retention requirement, “ \_\_\_ years, or until audited, whichever is later,” requires further explanation. In most instances ‘audit’ refers to the general agency audit conducted by the State Auditors of Public Accounts or the general town or municipal audit conducted by an outside auditing agency, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process. The requirement of “until audited” is fulfilled when the official audit report is issued. The auditors may recommend that certain records be corrected. Such records, even when they meet retention requirements, must be retained during the period that any review is pending.
12. **FOIA DISCLOSURE:** This retention schedule governs the retention of records – not the disclosure of public records. Refer to CGS §1-200 et seq. or contact the Office of Governmental Accountability, Freedom of Information Commission (FOIC), regarding disclosure of public records.
13. **RECORDS CREATION REQUIREMENT:** Nothing on this schedule mandates the creation of a record or records series if the agency does not already create or receive it in the normal course of business. However, agencies should be aware of any additional recordkeeping requirements established by state or federal statute or regulation.
14. **PUBLICATIONS:** Pursuant to CGS §11-9d, every state agency shall deposit a sufficient number of copies of each of its tangible publications with the State Library or notify the State Library of the existence, availability and location of its intangible publications.

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15. **RECORDS STORAGE:** Agencies have different operational needs. Active records should be retained onsite and inactive records may be stored at the State Records Center or other approved offsite records storage facility. See Public Records Policy 10 for the transfer and storage of records at the State Records Center and Public Records Policy 03 for the standards for public records storage facilities.

Series #	Records Series Title	Description	Retention	Disposition	Notes
S1-010	<b>Accident Records</b>	This series documents reports and related documents regarding personal injury on state property, at state sponsored events, or in state owned vehicles.	10 years from date of report	Destroy after receipt of signed Form RC-108	See S3-710 and S3-720 for accidents that involve only property damage.
S1-020	<b>Accreditation Records</b>	This series documents the accreditation process by accrediting and regulatory bodies. Including but not limited to: data; correspondence; other supporting documentation; reports received from study committees of accrediting associations; and suggestions and recommendations concerning organizational structure and administration.	5 years from date accreditation granted, or until next accreditation, whichever is later	Destroy after receipt of signed Form RC-108	Applies to accreditation at program, department, and institutional levels.
S1-030	<b>Alarm System Activity Records</b>	This series documents alarm system activity at agency facilities. Including but not limited to: alarm test check sheets; zone check sheets; gate alarm check sheets; and alarm activity logs.	2 years from date of activity	Destroy after receipt of signed Form RC-108	
S1-040	<b>Award and Recognition Records</b>	This series documents the issuance of awards and recognition of state employees, as well as students and faculty at higher education institutions, and the general public. Including but not limited to: award descriptions; qualification materials; and related correspondence.	3 years from date award presented, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	See S1-330 for mediation awards.  See S2-160 for award records related to employee service and compensation.  See S5-640 for retention of student financial aid records.  May have historical value; contact State Archivist prior to submission of Form RC-108.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-050</b>	<b>Calendars – Administrative Head</b>	This series documents daily activities of the administrative head of an agency (i.e., commissioner, executive director, agency head, or chief executive officer).	Term of office plus 2 years [NOTE: term of office is the entire length of time a person holds the position]	Destroy after receipt of signed Form RC-108	<p>Entries for personal appointments and official appointments shall be maintained separately.</p> <p>May have historical value; contact State Archivist prior to submission of Form RC-108.</p>
<b>S1-060</b>	<b>Calendars – Staff</b>	This series documents daily activities of staff.	1 year after end of year to which record relates	Destroy after receipt of signed Form RC-108	Entries for personal appointments and official appointments shall be maintained separately.
<b>S1-070</b>	<b>Complaint Files</b>	This series documents routine complaints that do not involve health and safety issues. Including but not limited to: complaints, preliminary investigations, findings, background material and responses.	2 years from date of resolution	Destroy after receipt of signed Form RC-108	<p><b>ESSENTIAL RECORD</b></p> <p>See S2-090 for CHRO/EEOC complaints and S2-100 for discrimination complaints.</p>
<b>S1-080</b>	<b>Construction Records – As Built Records</b>	This series documents new construction and improvements to real property and includes the final plans and specifications, which show the work as it was actually built. Including but not limited to: all construction documents depicting the final constructed configuration (as-builts); blueprints; plans; and system schematics.	Life of structure	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>

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<b>S1-090</b>	<b>Construction Records – Planning, Administration, and Management</b>	This series documents new construction and improvements to real property and includes all plans and specifications which lead up to as-built records, which show the work as it was actually built. Including but not limited to: correspondence; cost estimates; construction contracts; construction documents; specification manuals; and tracings and master drawings that lead to final construction (includes revised and superseded materials).	8 years from date certificate of occupancy issued	Destroy after receipt of signed Form RC-108	
<b>S1-100</b>	<b>Correspondence – Transitory</b>	This series documents temporary communications including email, instant messaging, and text messaging that have short term administrative value (e.g., transmittal faxes/memos; out of office replies; and listserv messages).	No requirement	Destroy	See OPRA Email Policy for management and retention of email and other electronic messages.  See Note 4 Common Definitions for the definition of a non-record.
<b>S1-110</b>	<b>Correspondence – Routine</b>	This series documents routine incoming communications and copies of routine outgoing communications for internal and external audiences including email, instant messaging, and text messaging. Includes general requests and Freedom of Information Act (FOIA) requests that do not lead to a formal complaint.	2 years from date of correspondence	Destroy after receipt of signed Form RC-108	See OPRA Email Policy for management and retention of email and other electronic messages.

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Series #	Records Series Title	Description	Retention	Disposition	Notes
	<b>Correspondence – Related to Specific Agency Functions or Programs</b>	For communications related to specific agency functions or programs including email, instant messaging, and text messaging, use the appropriate corresponding records series.	Follow retention of records series that documents specific agency functions or programs	Follow disposition of records series that documents specific agency functions or programs.  [When requesting permission to dispose of records, indicate the records series number on Form RC-108]	Examples include correspondence related to accreditation, which should be retained in accordance with S1-020 Accreditation Records; correspondence related to student admissions records, which should be retained in accordance with S5-470 Student Admissions Records; and correspondence related to a formal FOI complaint, which should be retained in accordance with S1-070 Complaint Files.  Correspondence from constitutional officers and administrative heads of agencies (e.g., commissioner, executive director, agency head, or chief executive officer) have an enduring historical value.  See OPRA Email Policy for management and retention of email and other electronic messages.
<b>S1-120</b>	<b>Correspondence Logs</b>	This series documents records of incoming and/or outgoing correspondence. Information collected may include date received, name of sender, and receiving person or office.	2 years	Destroy after receipt of signed Form RC-108	

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-130</b>	<b>Donation Records – Bequests and Endowments</b>	This series documents the transfer and use of money or property (i.e., bequests and endowments) to an institution. Including but not limited to: agreement forms; survey letters; and related correspondence, and related documentation.	Permanent	Retain in agency	<b>ESSENTIAL RECORD</b>  See S3 for related fiscal records.  See S9-030 for material donated to archives, libraries, special collections, and museums.
	<b>Email and other Electronic Messages</b>	For electronic messages, such as electronic mail (email), instant messaging (IM), and text messaging (SMS), use the appropriate corresponding records series.	See S1-100, S1-110, or records series to which correspondence relates	Follow disposition of appropriate records series	See OPRA Email Policy for management and retention of email and other electronic messages.
<b>S1-140</b>	<b>Emergency Preparedness – Continuity of Operations Plan (COOP)</b>	This series documents agency or facility disaster response and business recovery plans in the event of a natural or man-made disaster.	5 years from date superseded, or 5 years from date obsolete, whichever is earlier	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>  May have historical value; contact State Archivist prior to submission of Form RC-108.
<b>S1-150</b>	<b>Emergency Preparedness – Disaster Plans</b>	This series documents agency or facility disaster plans for the recovery of operational and vital records in the event of a natural or man-made disaster.	Until superseded or no longer useful	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>  Disaster plans should be incorporated into an agency COOP (see S1-140).
<b>S1-160</b>	<b>Emergency Preparedness – Drill Records</b>	This series documents the results of disaster preparedness exercises and supporting documents including scenarios, locations of safety related drills, timetables, response times, probable outcomes, areas of difficulty, descriptions of how difficulties were resolved, and areas for improvement.	2 years from date of exercise review or debrief	Destroy after receipt of signed Form RC-108	
<b>S1-170</b>	<b>Emergency Preparedness – Disaster Recovery Records</b>	This series documents disaster recovery activities.	3 years from end of activity	Destroy after receipt of signed Form RC-108	See S3-310 for emergency relief fiscal records.  Records of significant events may be retained longer for historical value.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-180</b>	<b>Event Records</b>	This series documents the administration, planning, arrangement, and execution of special events and activities, such as but not limited to lectures, ceremonies, and dedications. Including but not limited to: program details and arrangements; announcements; brochures; photographs; audio and/or video recordings; and related correspondence.	5 years from completion of event	Destroy after receipt of signed Form RC-108	May have historical value; contact State Archivist prior to submission of Form RC-108.  See S3 for financial records related to the event.
<b>S1-190</b>	<b>Facilities Use Records</b>	This series documents the use of agency facilities for activities, programs and community events. This series may contain, but is not limited to facility request forms, scheduling calendars, contracts or other forms consenting to abide by the agency's policies regarding use of facilities, and related correspondence. The consent forms are signed by the requestor and may include personal or financial identification information.	Current year plus 1 year	Destroy after receipt of signed Form RC-108	See S1-310 for liability proof of coverage records.
<b>S1-200</b>	<b>Fire Extinguisher Inspection Records</b>	This series documents the inspection and annual maintenance checks of portable fire extinguishers.	1 year after the last entry, or the life of the shell, whichever is less [29 CFR 1910.157]	Destroy after receipt of signed Form RC-108	In accordance with NFPA 10 - 7.2.4.5, records shall be kept to demonstrate at least the last 12 monthly inspections have been performed.



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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-210</b>	<b>Fire Standpipe and Hose Inspection Records</b>	This series documents the inspection and annual maintenance checks of building fire standpipe and hose systems.	1 year from date of last inspection	Destroy after receipt of signed Form RC-108	<p>Pursuant to 29 CFR 1910.158(e)(2)(iii), hose systems shall be inspected at least annually and after each use to assure that all of the equipment and hose are in place, available for use, and in serviceable condition.</p> <p>In accordance with NFPA 10 - 7.2.4.5, records shall be kept to demonstrate at least the last 12 monthly inspections have been performed.</p>
<b>S1-220</b>	<b>Global Positioning System (GPS) Tracking Records</b>	This series documents the maintenance and use of Global Positioning System (GPS) devices for vehicle/employee tracking purposes. Including but not limited to: tracking logs and system information.	1 year from date of activity	Destroy after receipt of signed Form RC-108	
<b>S1-230</b>	<b>Grant Program Files – Agency as Administrator - Approved</b>	This series documents grants administered by the agency. Including but not limited to: applications; project proposals; narratives; supporting documentation; grant contracts; research data; related correspondence; evaluations; award letters; and reports.	3 years after renewal, termination, or final report; or until audited; whichever is later	Destroy after receipt of signed Form RC-108	<p><b>ESSENTIAL RECORD</b></p> <p>See S3-060 for grant fiscal records.</p> <p>Includes state-funded, state-administered, federally-funded, and other types of grant programs.</p> <p>In many instances grant files from federal programs may have a longer retention period, which should be indicated on an agency records retention schedule.</p> <p>May have historical value; contact State Archivist prior to submission of Form RC-108.</p>

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Series #	Records Series Title	Description	Retention	Disposition	Notes
S1-240	<b>Grant Program Files – Agency as Administrator - Denied, Returned, Revoked, or Withdrawn</b>	This series documents grants administered by the agency. Including but not limited to: project proposals; narratives; supporting documentation; related correspondence; and evaluations.	3 years from date denied, returned, revoked, or withdrawn	Destroy after receipt of signed Form RC-108	<p>See S3-060 for grant fiscal records.</p> <p>Includes state-funded, state-administered, federally-funded, and other types of grant programs.</p> <p>In many instances grant files from federal programs may have a longer retention period, which should be indicated on an agency records retention schedule.</p> <p>May have historical value; contact State Archivist prior to submission of Form RC-108.</p>
S1-250	<b>Grant Files – Agency as Recipient</b>	This series documents public and private grants received by the agency. Including but not limited to: applications; supporting documentation; grant award/denial letters; related correspondence; evaluations; and reports.	3 years after renewal, termination, or final report; or until audited; whichever is later	Destroy after receipt of signed Form RC-108	<p>See S3-060 for grant fiscal records.</p> <p>Includes state-funded, state-administered federally-funded and other types of grant programs.</p> <p>In many instances grant files from federal programs may have a longer retention period, which should be indicated on an agency-specific records retention schedule.</p> <p>May have historical value; contact State Archivist prior to submission of Form RC-108.</p>

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-260</b>	<b>Hazardous Waste Manifest Records</b>	This series documents the transportation of hazardous waste from a generator's site to the site of its disposition. Including but not limited to: uniform hazardous waste manifest and instructions (EPA Forms 8700-22 and 8700-22A); biennial reports and exception reports; and test results, waste analyses, or other determinations.	3 years from the date the waste was accepted by the initial transporter [40 CFR 262.40(a)]	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>  Pursuant to 40 CFR 262.40(a), the copy received from the designated facility should be kept by the generator for 3 years.  Some agencies may have related records on agency specific schedules with different retention requirements.
<b>S1-270</b>	<b>Identification Card Records</b>	This series documents the creation and maintenance of identification (ID) cards for employees, students, and volunteers. Including but not limited to: applications; forms; and photographs.	Until superseded, or date of termination, whichever is earlier	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>
<b>S1-280</b>	<b>Incident Reports</b>	This series documents the circumstances surrounding events, occurrences, and incidents. Including but not limited to: incident reports; and related documents used to monitor the number and type of incidents.	10 years from date of report	Destroy after receipt of signed Form RC-108	See S10 for public safety incident reports.
<b>S1-290</b>	<b>Legal Opinions and Administrative Decisions</b>	This series documents legal opinions and administrative decisions issued by state agencies. Including but not limited to: legal opinions; memorandum opinions; and informal opinions.	Permanent	Retain in agency or transfer to State Archives	<b>ESSENTIAL RECORD</b>  For original Attorney General opinions see agency specific schedule.
<b>S1-300</b>	<b>Legislative Records</b>	This series documents the creation of legislation at the agency level (passed or not passed). Including but not limited to: copies of bills and previous drafts; testimony; copies of hearing transcripts; reports; and related correspondence.	2 years from date legislative session ends	Destroy after receipt of signed Form RC-108	May have historical value; contact State Archivist prior to submission of Form RC-108.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-310</b>	<b>Liability Proof of Coverage Records</b>	This series documents proof of coverage for state sponsored programs at private facilities, use of state facilities by private organizations, and insurance certificates required for loans of museum artifacts and archival documents.	3 years from date of expiration, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	See S1-190 for facilities use records.
<b>S1-320</b>	<b>Liability Waivers and Assumptions of Risk</b>	This series documents waivers and assumptions of risk for individuals or private organizations participating in state programs or utilizing state property (e.g., ride-a-longs, job shadows, or refusals of medical treatment).	3 years from date of waiver	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>
<b>S1-330</b>	<b>Litigation Case Files - Administrative</b>	This series documents judicial proceedings of state agencies. Including but not limited to: affidavits, complaints, responses, orders of dismissals, notice and general appeal, orders, legal briefs, transcripts of proceedings, and court decisions.	5 years after resolution, if no further action taken, or 5 years after issue is resolved and all litigation is completed	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>
<b>S1-340</b>	<b>Meeting Records – Agency Staff</b>	This series documents meetings for staff and committees at the agency level. Including but not limited to agendas, meeting notes or minutes, rosters and handouts.	3 years from date of meeting	Destroy after receipt of signed Form RC-108	May have historical value - contact State Archivist prior to submission of Form RC-108.  See Conn. Agencies Regs. §31-40v-6 regarding health and safety committee.
<b>S1-350</b>	<b>Meeting Records – Administrative Heads, Boards, Commissions, and Task Forces</b>	This series documents the summarized record of the proceedings of executive staff meetings, boards, commissions, and task forces. Including but not limited to: minutes and by-laws.	Permanent	Retain in agency or transfer to State Archives	<b>ESSENTIAL RECORD</b>  See S1-590 for board, commission, and task force reports.

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<b>S1-360</b>	<b>Meeting Records – Administrative Heads, Boards, Commissions, and Task Forces - Supporting Documentation</b>	This series documents meeting activities. Including but not limited to: agendas; notices of schedule; schedules of meetings; and related documents (e.g., presentations and meeting packets).	1 year from date of meeting	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b> May have historical value; contact State Archivist prior to submission of Form RC-108.
<b>S1-370</b>	<b>Meeting Records – Recordings</b>	This series documents audio/video recordings of meetings, regardless of format (e.g., cassette, VHS, DVD, DVR, SD, or USB).	6 months from date minutes approved and transcribed	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b> See S1-680 for hearing records.
<b>S1-380</b>	<b>Memorandums of Understanding</b>	This series documents formal agreements reached between the state and other entities; or a state agency, and another agency or another local, state, or federal agency. Including but not limited to: Memorandums of Agreement (MOA); Memorandums of Understanding (MOU); and related documents.	6 years from date agreement no longer in force	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b> May have historical value; contact State Archivist prior to submission of Form RC-108.  Pursuant to CGS Sec. 52-576 the statute of limitations for contracts is 6 years.
<b>S1-390</b>	<b>Occupational Safety and Health Plans</b>	This series documents plans required by OSHA (Occupational Safety and Health Administration) or CONN-OSHA (Connecticut Department of Labor, Division of Occupational Safety and Health). Including but not limited to: facilities-based plans; emergency procedures; and other related plans.	Until superseded or no longer useful	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-400</b>	<b>Occupational Safety and Health Recording and Reporting Records</b>	This series documents recording and reporting of occupational injuries and illness. Including but not limited to: annual summaries; OSHA 300 Logs; privacy case list (if one exists); annual summary, and OSHA 301 Incident Reports.	5 years after end of year to which record relates [29 CFR Part 1904.33 and 29 CFR §1904.44]	Destroy after receipt of signed Form RC-108	Facilities covered by Emergency Planning and Community Right-to-Know Act (EPCRA) must annually submit inventory forms to the Local Emergency Planning Committee (LERC), State Emergency Response Commission (SERC), and the local fire department.  Pursuant to 29 CFR §1904.44, any citations must remain posted until the violation has been abated, or for 3 working days (excluding holidays and weekends), whichever is later.
<b>S1-410</b>	<b>Occupational Safety and Health Material Safety Data Sheets (MSDS)</b>	This series documents records of chemicals used, where they were used, and for how long they were used pursuant to 29 CFR Part 1910.1200.	Until superseded, or 2 years after chemical is disposed of or consumed, provided that employer retains some record of identity (chemical name if known) of substance or agent, where it was used, and when it was used, for at least 30 years [29 CFR 1910.1020(d)(ii)(B)]	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>
<b>S1-420</b>	<b>Occupational Safety and Health Superfund Amendments Reauthorization Act (SARA) Reports</b>	This series documents SARA Title III Emergency Planning and Community Right-to-Know Act (EPCRA) Tier II emergency and hazardous chemical inventory forms submitted annually, or within 90 days of exceeding the EPCRA threshold, to the Connecticut Department of Public Health (DPH) by facilities that use or store chemicals requiring a material safety data sheet in volumes exceeding the threshold amount.	30 years [29 CFR 1910.1020(d)(1)(ii)(B)]	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>  Report serves as a record of chemicals used, where they were used, and for how long they were used.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-430</b>	<b>Parking Permits</b>	This series documents the permitting process to park at state parking facilities. Including but not limited to: applications and related documentation.	1 year from date superseded, cancelled, or revoked	Destroy after receipt of signed Form RC-108	
<b>S1-440</b>	<b>Parking Permits, Temporary</b>	This series documents the permitting process to temporarily park at state parking facilities. Including but not limited to: applications and related documentation.	Until expiration of permit	Destroy after receipt of signed Form RC-108	
<b>S1-450</b>	<b>Personal Data Disclosure Records</b>	This series documents maintenance and disclosure of personal data pursuant to the Personal Data Act (CGS §4-190). Including but not limited to: personal data removal logs and related notifications.	5 years from date of obtaining access or disclosure, or life of the record, whichever is longer [CGS §4-193(c)]	Destroy after receipt of signed Form RC-108	Pursuant to CGS §4-193(c), each agency shall keep a complete record, concerning each person, of every individual, agency or organization who has obtained access to or to whom disclosure has been made of personal data and the reason for each such disclosure or access.
<b>S1-460</b>	<b>Personal Data Removal Requests</b>	This series documents requests for removal of personal data as defined by the Personal Data Act (CGS §4-190). Including but not limited to: Requests for Removal of Personal Data (Form RC-077) submitted to the Office of the Public Records Administrator.	5 years from date approved/denied	Destroy after receipt of signed Form RC-108	
<b>S1-470</b>	<b>Phone Records</b>	This series documents the usage of agency land lines or cell phones and related phone call information such as person calling, date and time of phone call, number dialed, and length of call. Including but not limited to: message books, while you were out notices, and phone system activity reports.	1 year after end of year to which record relates	Destroy after receipt of signed Form RC-108	See S1-690 for voicemail.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-480</b>	<b>Planning Records</b>	This series documents the process of planning new or redefined programs, services, or projects of agency or program functions. Including but not limited to: needs assessments; consultant reports; surveys; studies; project files; questionnaires; and related correspondence.	5 years, or until superseded, whichever is later	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b> May have historical value; contact State Archivist prior to submission of Form RC-108.
<b>S1-490</b>	<b>Policies and Procedures - Formal</b>	This series documents formal policies and procedures issued by governing boards, commissioners, agency heads, or other authorized entities to address agency-wide operations and critical agency functions. Including but not limited to: policies; directives; general letters; official memos; and guidelines.	Permanent	Retain in agency or transfer to State Archives	<b>ESSENTIAL RECORD</b>
<b>S1-500</b>	<b>Policies and Procedures - Routine</b>	This series documents policies and procedures of routine, day-to-day operations of agencies or program units. Including but not limited to: policies; memoranda; orders; guidelines; bulletins; and manuals.	5 years from date superseded or voided	Destroy after receipt of signed Form RC-108	May have historical or legal value; contact State Archivist prior to submission of Form RC-108.
<b>S1-510</b>	<b>Presentation Records</b>	This series documents presentations given by agency staff as part of training sessions, conferences, or workshop activities. Including but not limited to: handouts and presentations.	1 year from date of presentation	Destroy after receipt of signed Form RC-108	



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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-520</b>	<b>Program Development Files</b>	This series documents the history and development of agency programs, units, and/or divisions, as well as its purpose, authority, and organization. Including but not limited to: organization charts; mission or function statements; program charges, bylaws, and legislation related to the organization and structure of the agency; long term plans; and agency histories.	Permanent	Retain in agency or transfer to State Archives	<b>ESSENTIAL RECORD</b>
<b>S1-530</b>	<b>Public Relations Records</b>	This series documents communications and public relations activities of agencies. Including but not limited to: news clippings; press releases; remarks; speeches; and related correspondence.	4 years from date issued	Destroy after receipt of signed Form RC-108	Public relations records from constitutional officers and administrative heads of agencies (e.g., commissioner, executive director, agency head, or chief executive officer) have an enduring historical value.  May have historical value; contact State Archivist prior to submission of Form RC-108.
<b>S1-540</b>	<b>Publications, Agency</b>	This series consists of all publications printed or otherwise produced in tangible form, and all publications produced in electronic or other intangible form, by or under the authority direction of the state or any officer thereof, or any other agency supported wholly or in part by state funds.	Permanent	Retain in agency or transfer to State Library, State Documents Depository Program [CGS §11-4a; §11-9d]	<b>ESSENTIAL RECORD</b>  See Note 14 Publications.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-550</b>	<b>Records Disposition Records</b>	This series documents the disposition (destruction or legal transfer) of public records. Including but not limited to: Records Disposition Authorizations (Form RC-108); State Records Center Storage Lists (Form RC-100); Certificate of Records Disposition for Information Systems Records (Form RC-109); transfer agreements; memorandums of transfer; and related documentation certifying disposition of records (e.g., certificates of destruction).	25 years from date of disposition	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b> State Library maintains copies of Records Disposition Authorizations permanently.
<b>S1-560</b>	<b>Regulation Making Records – Regulations Not Passed</b>	This series documents the formulation and approval process of regulations that did not pass. Including but not limited to: hearing transcripts; minutes of formal hearings; public comments; correspondence; and subject files.	2 years from date regulation not passed	Destroy after receipt of signed Form RC-108	See CGS §4-168b for the definition of “regulation making record” under the Uniform Administrative Procedures Act (CGS §4-166 et seq.).
<b>S1-570</b>	<b>Regulation Making Records – Repealed or Time-Limited Regulations</b>	This series documents the formulation and approval process of regulations that by their own terms or by statute are limited in duration. Including but not limited to: hearing transcripts; minutes of formal hearings; public comments; correspondence; and subject files.	2 years from date regulation expires or is repealed	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b> Pursuant to CGS §4-168b(a) an official regulation-making record must be retained for length of period required by law for each regulation.  Retaining these records for two years allows for any potential litigation.
<b>S1-580</b>	<b>Regulation Making Records – Permanent Regulations</b>	This series documents the formulation and approval process of regulations that are permanent in duration. Including but not limited to: hearing transcripts; minutes of formal hearings; public comments; correspondence; and subject files.	Permanent	Retain in agency or transfer to State Archives or other approved archival repository	<b>ESSENTIAL RECORD</b> See CGS §4-168b(a).

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-590</b>	<b>Reports – Administrative Heads, Boards, Commissions, and Task Forces</b>	This series documents reports produced by agencies or by special tasks forces, commissions and other bodies created by the Governor or Connecticut General Assembly to investigate issues or events of significant but finite duration.	Permanent	Retain in agency or transfer to State Library, State Documents Depository Program [CGS §11-4a]	<b>ESSENTIAL RECORD</b> See S1-350 for meeting records.
<b>S1-600</b>	<b>Reports – Annual</b>	This series documents annual reports to the Office of the Governor or the Connecticut General Assembly.	Permanent	Retain in agency or transfer to State Library, State Documents Depository Program [CGS §11-9d]	<b>ESSENTIAL RECORD</b> See S1-540 for agency publications.
<b>S1-610</b>	<b>Reports – Routine</b>	This series documents administrative reports created for submission to state or federal agencies or legislative committees.	2 years from date of report	Destroy after receipt of signed Form RC-108	See S1-600 for annual reports. See S1-540 for agency publications.  For grant funded projects, use the retention period required by the grant.  May have historical or legal value; contact State Archivist prior to submission of Form RC-108.
<b>S1-620</b>	<b>Schedules, Staff Assignment</b>	This series documents location or duty assignments for agency staff. Including, but not limited to: desk schedules; duty rosters; staffing assignments (including logs); staffing worksheets; and work assignment change forms.	2 years	Destroy after receipt of signed Form RC-108	
<b>S1-630</b>	<b>Security Breach Notification Records</b>	This series documents agency response to disclose of breaches of security pursuant to CGS §36a-701b. Including but not limited to: notifications to affected persons and to designated state agencies; logs of notifications; and related records.	6 years from date of notification	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-640</b>	<b>Security Records</b>	This series documents security of state buildings and parking facilities. Including but not limited to: logs of facility visitors; employee ID/key assignments; routine security inspections; and building checks.	2 years after end of year to which record relates	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>  If records become evidence in any kind of disciplinary proceeding, litigation, or if notice of pending action has been filed with the agency, recordings must be retained until all actions have been resolved.
<b>S1-650</b>	<b>Security Surveillance Recordings</b>	This series documents audio/video security surveillance recordings, regardless of format (e.g., cassette, VHS, DVD, DVR, SD, or USB).	30 days from date of recording	Destroy	<b>ESSENTIAL RECORD</b>  If recordings become evidence in any kind of disciplinary proceeding, litigation, or if notice of pending action has been filed with the agency, recordings must be retained until all actions have been resolved.  See S10-530 for public safety recordings.
	<b>Social Media Records</b>	For social media/Web 2.0 records, such as Facebook™ and Twitter™, use the appropriate corresponding records series.	Follow retention of appropriate corresponding records series	Follow disposition of appropriate corresponding records series	For example, if an agency uses Twitter™ for public relations purposes, these records should be retained in accordance with S1-520 Public Relations Records.
<b>S1-660</b>	<b>Subpoenas</b>	This series documents writs issued by a court authority to compel the attendance of a witness at a judicial proceeding.	1 year from date subpoena issued	Destroy after receipt of signed Form RC-108	
<b>S1-670</b>	<b>Suggestion Program Records</b>	This series documents suggestions from the public and employees to contribute practical ideas to improve government operations. Including but not limited to: suggestions; reviews/evaluations of suggestions; awards; and related correspondence.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	May have historical value; contact State Archivist prior to submission of Form RC-108.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S1-680</b>	<b>Uniform Administrative Procedures Hearing Records</b>	This series documents hearings conducted pursuant to the Connecticut Uniform Administrative Procedures Act (CGS §4-176 et seq.). Including but not limited to: notices; petitions, pleadings, motions and intermediate rulings; evidence, objections and rulings; the official transcript of proceedings or any recording or stenographic record of the proceedings; proposed final decisions and exceptions thereto; and the final decision.	Permanent	Retain in agency or transfer to State Archives or other approved archival repository	<b>ESSENTIAL RECORD</b>  See S1-560, S1-570, and S1-580 for retention of regulation making records.  For permit, licensing, or certificate hearings follow agency-specific retention schedules.
<b>S1-690</b>	<b>Voice Mail</b>	This series documents information recorded to voice mail systems, answering machines, or other Web based systems.	No requirement	Destroy	See CGS §1-213 regarding disclosure of voice mail by public agencies.  Voice mail is an electronic record; however, it is transitory in nature and may be destroyed at will.  Special circumstances may apply requiring some limited retention, See OPRA Email Policy for management and retention of email and other electronic messages.
<b>S1-700</b>	<b>Volunteer Records</b>	This series documents the administration of agencies' volunteer, intern, and community service programs. Including but not limited to: recruitment and selection records; volunteer agreements; background checks; emergency notification forms; insurance documentation; work schedules; sign-in/out sheets; time sheets; orientation and training documentation; and work history records.	5 year from date of last contact	Destroy after receipt of signed Form RC-108	The Judicial Department is the primary records custodian for court ordered community service records.

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<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
	<b>Website Content Records</b>	For website content records, such as websites, blogs, and wikis, use the appropriate corresponding records series. This applies to the official record copy.	Follow retention of appropriate corresponding records series	Follow disposition of appropriate corresponding records series	<p>For example, if an agency uses a WordPress™ Blog for public relations purposes, these records should be retained in accordance with S1-530 Public Relations Records.</p> <p>If content is not the official record copy, agencies may destroy at will.</p> <p>See S1-540 for submitting electronic publications to the State Library.</p>
<b>S1-710</b>	<b>Website Management and Operations Records</b>	This series documents the management and operation of agency websites. Including but not limited to: site design; use of copyrighted materials; software applications; and site maps.	1 year from date superseded or no longer administratively useful	Destroy after receipt of signed Form RC-108	<b>ESSENTIAL RECORD</b>