1. **SCOPE**: This schedule lists records unique to Department of Labor – Wage and Workplace Standards and is used in conjunction with the General Records Retention Schedules and other relevant Records Retention Schedules.

2. **AUTHORITY**: The Office of the Public Records Administrator issues this Records Retention Schedule under the authority granted by §11-8 and §11-8a of the *General Statutes of Connecticut* (CGS).

3. **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. However, some records have maximum retention periods set by Federal or State statutes or regulations. Please note that any statute or regulation listed in brackets in the “Retention” column indicates the legal citation for that retention requirement. If a records series states, “Permanent/Archival,” the agency should request approval to transfer the records to the State Archives or an approved archival repository once the records are inactive. If a records series states, “May contain historical value,” the agency should contact the State Archives for archival appraisal 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 for guidelines on transferring records to the State Archives.

4. **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.

5. **DISPOSITION AUTHORIZATION**: 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 their retention period. The agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator must sign the authorization form prior to destruction or transfer of public 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 once the hold is lifted, the records may be destroyed after receipt of the signed Form RC-108.

6. **DISPOSITION DUE TO REFORMATTING**: Records custodians may request permission to dispose of original records that have been scanned provided the retention period is 10 years or less and the agency has submitted a Certificate of Compliance in accordance with the State Library’s *Standards for the Use of Imaging Technology for Storage, Retrieval, and Disposition of Public Records*. With certain exceptions, custodians may request permission to dispose of original records that have been microfilmed provided the agency has submitted a Certificate of Compliance in accordance with the State Library’s *Required Minimum Microfilming Standards for Public Records*.

7. **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.

8. **FOIA DISCLOSURE**: This retention schedule governs the retention of public 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 the disclosure of public records.

9. **ESSENTIAL RECORDS**: Records designated as “Essential” are those 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 to protect the rights and interests of individuals for whom it has responsibility.

10. **OBsolete RECORDS**: Records designated as “OBsolete” or “SERIES CLOSED” are 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. **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.
**RECORDS RETENTION SCHEDULE**  
[DEPARTMENT OF LABOR]  
Form RC-050 (Revised 02/2012)

**AGENCY:**  
Department of Labor (DOL)

**AGENCY ADDRESS:**  
200 Folly Brook Blvd. Wethersfield, CT 06109

**DIVISION, UNIT, OR FUNCTION:**  
Wage and Workplace Standards

**RELEVANT STATUTES & REGULATIONS AND ACRONYMS USED ON THIS SCHEDULE:**
CGS Sec. 31-51 through 31-57; CGS Sec. 31-58 through 31-76m; CGS Sec. 31-130; 29 CFR 541 Fair Labor Standards Act.

**RMLO (type or print):**  
Carl Schuh

**JOB TITLE OF RMLO (type or print):**  
Fiscal Administrative Manager 2

**APPROVED (Signature of State Archivist):**  
Paul E. Bener

**DATE SIGNED:**  
9/15/2013

**APPROVED (Signature of Public Records Administrator):**  
Leo V. Lowe

**EFFECTIVE DATE OF SCHEDULE:**  
9/11/2013

**Series #** | **Records Series Title** | **Description** | **Retention** | **Disposition** | **Notes**
--- | --- | --- | --- | --- | ---
1. | Case Files - Wage and Hour Violations | This series documents investigations of wage and hour law violations, including issues of exempt/non-exempt status of employees. Including but not limited to: final reports; preliminary notes; wage transcriptions; correspondence; payment letters; civil penalty assessment; and copies of employer payroll records. | 5 years from date case closed | Destroy after receipt of signed Form RC-108 | Executive, administrative, and professional employees are defined pursuant to CGS Sec. 31-60-14 through CGS Sec. 31-60-16.

2. | Case Files - Wage Enforcement | This series documents enforceable wage complaints and investigations pursuant to CGS Sec. 31-59 and Sec. 31-76a. Including but not limited to: correspondence; final reports; preliminary notes; wage transcriptions; stop work orders; and payment letters. | 5 years from date case closed (3 years in office, 2 years offsite) | Destroy after receipt of signed Form RC-108 | Enforceable wages include minimum wage, overtime payment for services rendered, sales commission, payment of all monies due on a regular payday, and fringe benefits payable upon termination.

3. | Case Files - Workplace Standards | This series documents complaints and investigations of workplace conditions and standards. Including but not limited to: complaints; final notices; preliminary notes; and violation sheets. | 3 years from date case closed | Destroy after receipt of signed Form RC-108 |
<table>
<thead>
<tr>
<th>Series #</th>
<th>Records Series Title</th>
<th>Description</th>
<th>Retention</th>
<th>Disposition</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.</td>
<td>Case Files – Arrests and Attorney General Referrals</td>
<td>This series documents Wage and Workplace Standards investigations resulting in an arrest or attorney general referral. Including but not limited to: administrative, unilateral, or consent orders and supporting documentation; stipulated judgments; penalty calculations; and related correspondence.</td>
<td>10 years from date case closed</td>
<td>Destroy after receipt of signed Form RC-108</td>
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<td>5.</td>
<td>Payday Frequency Authorization Files</td>
<td>This series documents employer requests for permission to waive weekly payday requirements pursuant to CGS Sec. 31-71i and to withhold or divert any portion of an employee's wages pursuant to CGS Sec. 31-71e. Including but not limited to: sample forms and related correspondence.</td>
<td>Life of business</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Pursuant to CGS Sec. 31-71i, the Labor Commissioner may permit any employer to establish regular payday less frequently than weekly, provided each employee affected shall be paid in full at least once in each calendar month on a regularly established schedule.</td>
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<td>6.</td>
<td>Prevailing Wage Schedule Records</td>
<td>This series documents the issuance of prevailing wage schedules for each contract for the construction, remodeling, refinishing, refurbishing, rehabilitation, alteration, or repair of any public works project by the state or its agents, or by any political subdivision of the State pursuant to CGS Sec. 31-53 and service contracts under CGS Sec. 31-57f. Including but not limited to: wage schedules; contractor and contracting agent certifications.</td>
<td>5 years from date schedule issued</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Pursuant to CGS Sec. 31-53, DOL will issue schedules to contracting agencies upon request.</td>
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<td>7.</td>
<td>Weekly Reports of Staff Activities</td>
<td>This series documents weekly work activities of field staff conducting site visits. Including but not limited to: reporting forms.</td>
<td>3 years from date of report</td>
<td>Destroy after receipt of signed Form RC-108</td>
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</tr>
<tr>
<td>Series #</td>
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<td>Retention</td>
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<td>8.</td>
<td>Drug Testing Permission Records</td>
<td>This series documents employer requests for permission to drug test employees in high risk or safety-sensitive occupations. Including but not limited to: employer requests and letter of permission to drug test.</td>
<td>5 years from date permission letter issued</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Pursuant to CGS Sec. 31-51x, an employer may require an employee to submit to a urinalysis drug test on a random basis if the employee serves in an occupation that has been designated as high risk or safety-sensitive pursuant to regulations adopted by the Labor Commissioner.</td>
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<td>9.</td>
<td>Employment Agency License Records</td>
<td>This series documents the licensing of employment agencies to conduct business in Connecticut pursuant to CGS Sec. 31-130. Including but not limited to: requests and related correspondence.</td>
<td>2 years from date of last request</td>
<td>Destroy after receipt of signed Form RC-108</td>
<td>Pursuant to CGS Sec. 31-130(h), licenses remain in effect until May 1st following the date issued unless sooner cancelled.</td>
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