

# RECORDS RETENTION SCHEDULE

Form RC-050 (Revised 01/2010)

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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

# 11-1-2

- 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> Insurance Department (CID)	<b>AGENCY ADDRESS:</b> 153 Market Street, Hartford, CT 06106	<b>This schedule is:</b> <input checked="" type="checkbox"/> new <input type="checkbox"/> revised
<b>PROGRAM / UNIT:</b> Fraud Unit		<b>If revised, superseded schedule number(s):</b>

<b>RMLO (type or print):</b> Michael Malesta	<b>TITLE (type or print):</b> Counsel/RMLO	<b>APPROVED (State Archivist):</b> Mark H. Jones (signature on file)	<b>DATE:</b> 4/4/2011
<b>APPROVED (RMLO):</b> Michael Malesta (signature on file)	<b>DATE:</b> 3/23/2011	<b>APPROVED (Public Records Administrator):</b> LeAnn R. Power (signature on file)	<b>EFFECTIVE DATE:</b> 4/4/2011

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
1.	<b>Investigative Reports</b> This series documents investigations of insurance producers and agencies (including bail bondsmen). Including but not limited to: final reports, Stipulated Settlement agreements, and referral reports to law enforcement personnel.	Permanent	N/A	Permanent / Archival	

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SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
2.	<p><b>Investigative Workpapers</b></p> <p>This series documents investigations of insurance producers and agencies (including bail bondsmen) and serve as back-up support for the final investigative report. Including but not limited to: planning documents and third party information for targeted examinations of insurance producers, insurance agencies and bail bondsmen; referral information concerning market behavior that led to the targeted investigation; results of analytical review of alleged violations of insurance statutes; and responses from management and/or targeted individuals.</p>	2 years from date investigative report released to the public	N/A	2 years from date investigative report released to the public	
3.	<p><b>Medical Discount Plans Licensure Files</b></p> <p>This series documents the licensure review process for medical discount plan organizations (MDPs) pursuant to CGS §38a-479rr(a)(2) and (b)(1). Including but not limited to: licensure applications and supporting documentation.</p>	4 years after no longer active or application withdrawn or denied	N/A	4 years after no longer active or application withdrawn or denied	
4.	<p><b>Pharmacy Benefit Managers Certificate of Registration Files</b></p> <p>This series documents the certificate of registration review process for Pharmacy Benefit Managers (PBMs) pursuant to CGS §38a-479bbb. Including but not limited to: applications and supporting documentation or exemption certificates as outlined in Conn. Agency Regs. §38a-179aaa-4.</p>	4 years from date expired, withdrawn, or denied	N/A	4 years from date expired, withdrawn, or denied	Pursuant to CGS §38a-479fff, a all certificates of registration issued expire annually on December 31 <sup>st</sup> .
5.	<p><b>Fraud Reports</b></p> <p>This series documents annual reports submitted by insurance companies detailing all information received or investigations conducted by such company during the past year concerning insurance fraud in any claim under a motor vehicle insurance policy pursuant to CGS §38a-356(c).</p>	1 year from date filed	N/A	1 year from date filed	Pursuant to CGS §38a-356(c), reports must be filed on or before March 31 <sup>st</sup> of each year.