

# RECORDS RETENTION SCHEDULE

RC-50 - Revised 3/2006

(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 # 08-2-1

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<b>AGENCY:</b> Department of Consumer Protection	<b>ADDRESS:</b> 165 Capitol Avenue, Hartford, CT 06106
<b>DIVISION or UNIT:</b> General (All Agency Programs)	Susan Gray, 860-713-6049

This schedule is:  original;  revised.  
 If revised, enter previous retention schedule number here: # 85-3-03, 85-3-07, 85-3-14, 85-3-15, 85-3-17, 85-3-18, 85-3-20, 85-3-20a (Addendum), 85-3-21a-f, 85-3-21a (Addendum), 89-7-1, 91-6-1, 94-14-1, 98-12-1; 04-10-1; 01-10-1

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Item Number	RECORD SERIES TITLE	APPROVED RETENTION PERIOD			Legal Requirements
		Office (A)	Off-site (B)	Total (A + B)	
1.	Application Files (Licenses, Registrations and Permits - Active) Includes, but is not limited to application forms, photographs, proof of educational qualifications, exam results, renewal documentation, correspondence and related materials.	3 years after activity ceases	N/A	3 years after activity ceases	
3.	Application Files (Licenses, Registrations and Permits - Withdrawn or Disqualified) Includes, but is not limited to application forms, correspondence and related materials for applicants who did not pass an exam within a specific time period, submitted an incomplete application or failed to submit all required supporting documentation.	3 years from date of receipt	N/A	3 years from date of receipt	
2.	Application Files (Licenses for Architects, Professional Engineers and Land Surveyors) Includes, but is not limited to, application forms, photographs, proof of educational qualifications, exam results, correspondence and related materials.	3 years after death of licensee or dissolution of corporation	N/A	3 Years after death of licensee or dissolution of corporation	
4.	Application Files (Itinerent Vendors and Businesses Conducting "Closing Out Sales") Includes, but is not limited to applications, financial records and related materials.	3 years, or until audited, whichever is longer	N/A	3 years, or until audited, whichever is longer	
5.	Application Files (Interstate Land Sales) Includes, but is not limited to applications, filings, renewal information and related materials submitted by corporations seeking to market timeshares and real property in other states to Connecticut Residents or Connecticut based property out of state.	3 years, or until audited, whichever is longer	N/A	3 years, or until audited, whichever is longer	

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Item Number	RECORD SERIES TITLE	APPROVED RETENTION PERIOD			Legal Requirements
		Office (A)	Off-site (B)	Total (A + B)	
6.	<b>Pre-Application and Continuing Education Course Approval Files</b> Consists of application form, course outline/syllabus, sample course certificate, a resume of the instructor for occupational and related correspondence submitted by schools for approval of pre-application and continuing education courses in the areas of real estate, occupational trades and professional licensing.	3 years from date of receipt	N/A	3 years from date of receipt	
7.	<b>Audit Documentation (Continuing Education Requirements)</b> Consists of correspondence, proof of credits, disciplinary actions and supporting documentation for real estate, occupational trades and professional licensees	3 years, or until audited, whichever is longer	N/A	3 years, or until audited, whichever is longer	
8.	<b>Embargo Files</b> Consists of investigation and inspection reports, embargo orders, seizure orders, sample analysis, correspondence and other supporting documentation related to the confiscation, prohibition from sale or relocation of food, drugs, cosmetics, medical devices, bedding and upholstered furniture, and household products or substances hazardous to children.	3 years from date product tagged	N/A	3 years from date product tagged	CGS 21a-96, 21a-236, 21a-335 thru 376
9.	<b>Investigation and Complaint Files (Other than Drug or Liquor Control)</b> Consists of investigation reports and supporting documentation regarding the nature of the investigation (consumer complaint, agency-initiated, etc.) and the outcome of the investigation.	7 years from date complaint received or investigation initiated	N/A	7 years from date complaint received or investigation initiated	
10.	<b>Inspection Files</b> Consists of inspection reports and supporting documentation regarding the nature of the inspection (required for license renewal, check for statutory compliance, etc.) and the outcome.	3 years, or until audited, whichever is longer	N/A	3 years, or until audited, whichever is longer	
11.	<b>Contract Inspection Files</b> Including but not limited to reports, correspondence and other supporting documentation related to USDA and FDA inspections assigned to the agency.	3 years from date of inspection	N/A	3 years from date of inspection	21 CFR 1304.03
12.	<b>Automobile Dispute Settlement Program (Lemon Law) Files</b> Consists of arbitration applications and supporting documentation such as hearing status, correspondence and settlement outcomes.	3 years, or until audited, whichever is longer	N/A	3 years, or until audited, whichever is longer	
13.	<b>Well-Drilling Files</b> Consists of permits and completion reports for residential and commercial well-drilling, correspondence and related materials	Permanent	N/A	Permanent	CGS 25-131

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14.	Field Agent/Inspector Activity Reports Consists of internal reports of agent/inspector activities submitted to supervisors.	3 years, or until audited, whichever is longer		3 years, or until audited, whichever is longer	

Approved ( <i>Agency Records Management Liaison Officer</i> ) Susan Grey (signature on file)	Typed Name of RMLO: Susan Grey		Title: Director	Date: 2/6/2008
Approved ( <i>State Archivist</i> ) Mark H. Jones (signature on file)	Date: 2/8/2008	Approved ( <i>Public Records Administrator</i> ): Eunice G. DiBella (signature on file)		Effective Date of Schedule: 2/8/2008