

**RECORDS RETENTION SCHEDULE**

Form RC-050 (Revised 11/2008)

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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**  
**#09-13-1**

<b>AGENCY:</b> Insurance Department	<b>AGENCY ADDRESS:</b> 153 Market St., Hartford, CT	This schedule is: <input type="checkbox"/> new <input checked="" type="checkbox"/> revised
<b>PROGRAM / UNIT:</b> Legal		If revised, superseded schedule number(s): <u>82-3; 96-7-1</u>

<b>RMLO (type or print):</b> Michael S. Malesta	<b>TITLE (type or print):</b> Counsel / RMLO	<b>APPROVED (State Archivist):</b> Mark H. Jones (signature on file)	<b>DATE:</b> 12/23/09
<b>APPROVED (RMLO):</b> Michael Malesta (signature on file)	<b>DATE:</b> 12/22/09	<b>APPROVED (Public Records Administrator):</b> LeAnn R. Power (signature on file)	<b>DATE OF SCHEDULE:</b> 12/23/09

Series Number	RECORD SERIES <sup>1</sup> TITLE (including description)	APPROVED RETENTION PERIOD			Notes and Citations
		Office (A)	Off-site <sup>2</sup> (B)	Total (A + B)	
1	<b>Docket Files</b> Includes list of assigned docket numbers for hearings and related matters. copy of the complaint, order, stipulations, hearing decisions and other related items. Arranged chronologically by year then by docket number.	Permanent	0	Permanent	CGS sec. 4-177 lists the records that must be retained in the file
2	<b>Hearing Files</b> Including but not limited to: hearing notices, correspondence, hearing transcripts, research notes and hearing officer's draft decision.	5 years from date of decision	0	5 years from date of decision	
3	<b>Declaratory Rulings</b> Formal opinions involving statutory or regulatory interpretations under the Uniform Administrative Procedures Act (UAPA).	Permanent	0	Permanent / Archival	
4	<b>Informal Legal Opinions</b> Correspondence and documentation supporting a policy or a directive involving internal policy matters that may take the form of an agency bulletin, guideline or notice.	5 years from date superseded	0	5 years from date superseded	
(S1-070)	<b>Routine Legal Opinions</b> Written responses to general legal questions.	2 years from date of correspondence	0	2 years from date of correspondence	

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<sup>1</sup> A 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.

<sup>2</sup> The State Records Center or an approved off-site facility. Records with a permanent retention period cannot be stored at the State 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.

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		Office (A)	Off-site <sup>2</sup> (B)	Total (A + B)	
5	<b>Receivership Reports - Court Ordered</b> Copies of reports and related documents submitted to the court by the Insurance Department. Files are arranged alphabetically by company.	Permanent	0	Permanent	
6	<b>Receivership Claims Records</b> Including but not limited to: claims, ledgers, and related records. Files are arranged alphabetically by company.	3 years from date receivership case closed	0	3 years from date receivership case closed	
7	<b>Connecticut Guaranty Association Plan of Operation and Minutes</b>	Permanent	0	Permanent / Archival	CGS sec. 38a-836, et seq. regarding the Connecticut Guaranty Association
8	<b>Connecticut Guaranty Association Plan - Correspondence</b>	2 years from date court or judicial proceeding closed	0	2 years from date court or judicial proceeding closed	
9	<b>Consulting Services Agreements</b> The three party agreements, correspondence and other related documentation for outside consultants hired to conduct statutory examinations, investigations, and Form A reviews and paid for by the insurance companies rather than the state.	4 years from date matter or proceeding completed	0	4 years from date matter or proceeding completed	Statutory exams (CGS sec. 38a-14); Form A (38a-129 et seq);