

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 # 07-5-1

AGENCY: Insurance Department	ADDRESS: 153 Market St., Hartford, CT
DIVISION or UNIT: Licensing	Michael Malesta

This schedule is: original; revised.

If revised, enter previous retention schedule number here: # 02-10-1

Page 1 of 3

Item Number	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD			Legal Requirements
		Office (A)	Off-site ² (B)	Total (A + B)	
1	Affidavits pertaining to surplus lines insurance companies	1 year from date filed	N/A	1 year from date filed	
2	Educational Training Programs (prelicensing) including Providers Training Manual produced by an outside vendor for insurance agents	Until superseded	N/A	Until superseded	
3	Letters of Certification (Hard copy) -- consists of incoming requests to verify a Connecticut issued license for another state	14 days after converted to electronic image	N/A	14 days after converted to electronic image	
4	Letters of Certification (Imaged or Electronic copy) -- consists of incoming requests to verify a Connecticut issued license for another state	1 year from date of issue	N/A	1 year from date of issue	
5	License and renewal applications (Hard copy)	14 days after converted to electronic image	N/A	14 days after converted to electronic image	
6	License and renewal applications (Imaged copy or electronically filed applications)	2 years from previous renewal	N/a	2 years from previous renewal	
7	License renewal cards (brokers, consultants, adjusters, appraisers & surplus lines brokers -- Hard copy)	14 days after converted to electronic image	N/A	14 days after converted to electronic image	no longer used since at least 2005
8	License renewal cards (brokers, consultants, adjusters, appraisers & surplus lines brokers -- Imaged or electronic copy)	2 years from previous renewal	N/A	2 years from previous renewal	no longer used since at least 2005

¹ 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.

² 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.

Item Number	RECORD SERIES ¹ TITLE	APPROVED RETENTION PERIOD			Legal Requirements
		Office (A)	Off-site ² (B)	Total (A + B)	
9	License renewal forms (producers -- Hard copy)	14 days after converted to electronic image	N/A	14 days after converted to electronic image	
10	License renewal forms (producers -- Imaged or electronic copy)	2 years from previous renewal	N/A	2 years from previous renewal	
11	Licensure records (active licensees -- Hard copies) includes but not limited to application, tests results, pre-licensing certificates, letters of certification (if applicable), administrative actions or criminal actions, and fee information	14 days after converted to electronic image	N/A	14 days after converted to electronic image	
12	Licensure records (active licensees -- Imaged or electronic copy) includes but not limited to application, tests results, pre-licensing certificates, letters of certification (if applicable), administrative actions or criminal actions, and fee information	Current	N/A	Current	
13	Licensure records (cancelled/nonrenewed licensees -- Hard copies) for agents, brokers, public and casualty adjusters, MVPD appraisers, consultants and surplus lines brokers. Documentation includes but not limited to cancel requests, activity log notes regarding reason license cancelled or not renewed (i.e. non payment of renewal fee or failed to satisfy continuing education requirements)	14 days after converted to electronic image	N/A	14 days after converted to electronic image	
14	Licensure records (cancelled/nonrenewed licensees -- Imaged copies) for agents, brokers, public and casualty adjusters, MVPD appraisers, consultants and surplus lines brokers. Documentation includes but not limited to cancel requests, activity log notes regarding reason license cancelled or not renewed (i.e. non payment of renewal fee or failed to satisfy continuing education requirements)	2 years from date of cancellation / non-renewal	N/A	2 years from date of cancellation / non-renewal	
15	Licensure records (former licensees ineligible for present or future licensing) includes but not limited to original application with test results, pre-licensing certificates, fee information, all administrative actions, stipulations, consent agreements, correspondence and mail receipts	55 years from date of revocation	N/A	55 years from date of revocation	
17	Notices of Cancellation (company appointed agents)	3 months after data entry	N/A	3 months after data entry	
18	Tax returns (surplus lines brokers -- Hard copies)	90 days after imaged or until audited if not imaged	N/A	90 days after imaged or until audited if not imaged	

