

**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

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RETENTION SCHEDULE

# **11-5-2**

- 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> Office of the Secretary of the State (SOTS)	<b>AGENCY ADDRESS:</b> 30 Trinity Street, Hartford, CT 06106	<b>This schedule is:</b> <input type="checkbox"/> new <input checked="" type="checkbox"/> revised
<b>PROGRAM / UNIT:</b> Commercial Recording Division (CRD) – Foreign Investigations Function Records		<b>If revised, superseded schedule number(s):</b> 96-9-4 #20 ONLY

<b>RMLO (type or print):</b> Barbara Sladek	<b>TITLE (type or print):</b> Records & Legislative Services Assistant Manager	<b>APPROVED (State Archivist):</b> Mark H. Jones (signature on file)	<b>DATE:</b> 3/11/2011
<b>APPROVED (RMLO):</b> Barbara Sladek (signature on file)	<b>DATE:</b> 3/7/2011	<b>APPROVED (Public Records Administrator):</b> LeAnn R. Power (signature on file)	<b>EFFECTIVE DATE:</b> 3/11/2011

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
1.	<b>Foreign Investigation Files</b> Consists of questionnaires, responses, correspondence, records of fines imposed and paid, and other documentation, regarding business entities that are, or may, be doing business in Connecticut without a certificate of authority.	3 years from date case closed and audited	5 years	8 years from date case closed and audited	See CGS §33-624, §33-921, §33-1017, §33-1211, §34-13d, §34-38l, §34-108, §34-233, §34-412, §34-430, and §34-539 for related information.
2.	<b>Foreign Investigations Certified Mail Books</b> Consists of records documenting the mailing of outgoing correspondence related to foreign investigations.	3 years	5 years	8 years	
3.	<b>Foreign Investigations Database</b> Consists of index and phone log information for open and closed investigation files.	Permanent	- 0 -	Permanent	Data 1995 – current. Some phone log information merged into Investigation Files.

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		Office (A)	Off-site (B)	Total (A + B)	
4.	<b>Foreign Investigations Weekly Reports</b> Consists of weekly case status and fine statistics related to foreign investigations.	3 years and audited	5 years	8 years and audited	
5.	<b>DRS Tax Return Disclosure Agreement Records</b> Consists of request log, safeguard activity reports, employee lists, and written disclosure agreements for the use of Department of Revenue Services (DRS) tax return information.	Permanent	- 0 -	Permanent	Records maintained in accordance with CGS §12-15(e) and SOTS-DRS disclosure agreement dated 1/15/2009.
6.	<b>DRS Tax Return Information Reports</b> Consists of DRS prepared taxpayer return information reports used to identify foreign business entities not registered with SOTS.	Until completion of use	- 0 -	Until completion of use	Records maintained in accordance with CGS §12-15(e) and SOTS-DRS disclosure agreement dated 1/15/2009. Agreement provides for return of records to DRS after completion of use by SOTS.