

DEPARTMENT OF INSURANCE
OFFICE OF THE COMMISSIONER
COMMISSIONER'S OFFICE

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

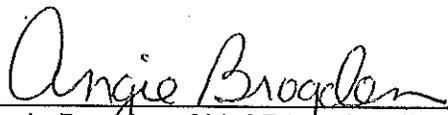
COMMISSIONER'S OFFICE

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The**

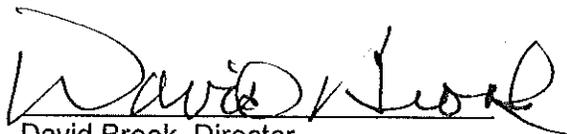
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Angie Brogden, Chief Records Officer
Department of Insurance



David Brook, Director
Division of Historical Resources

APPROVED



Wayne Goodwin, Commissioner
Department of Insurance



Linda A. Carlisle, Secretary
Department of Cultural Resources

DEPARTMENT OF INSURANCE

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

ORGANIZATIONAL NAME CHANGE

An organizational name change to this Program Records Retention and Disposition Schedule is hereby approved. The Program Records Retention and Disposition Schedule reflects the following organizational changes:

1. **Administrative Services to Administration**
2. **Office of the Commissioner to Administration**
3. **Ombudsman Services Group to Consumer Assistance Group**
4. **Public Services Group to Producers, Fraud and Products Group**
5. **Public Services Group, Administration to Producers, Fraud and Products Group, Senior Deputy Commissioner**
6. **Technical Services Group, Life and Health Division to Producers, Fraud and Products Group, Life and Health Division**
7. **Technical Services Group, Property and Casualty to Producers, Fraud and Products Group, Property and Casualty**
8. **Technical Services Group, Market Regulations Division to Company Services Group, Market Regulations Division**

No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent versions of the listed schedules. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

Department of Insurance

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

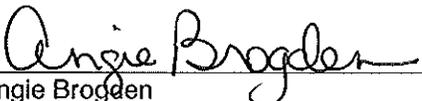
The Department of Insurance and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference value ends.*" The Department of Insurance hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Insurance will be responsible for cost of microfilm production.

The Department of Insurance and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Insurance agrees to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

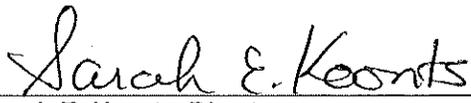
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.

The Department of Insurance agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Angie Brogden
Chief Records Officer

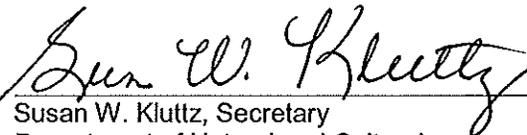


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Wayne Goodwin, Commissioner
Department of Insurance



Susan W. Kluttz, Secretary
Department of Natural and Cultural
Resources

**DEPARTMENT OF INSURANCE
ADMINISTRATION
COMMISSIONER'S OFFICE**

ITEM 11620. CORRESPONDENCE FILE

Correspondence in paper and electronic formats, including e-mail, written and received by the Commissioner's Office. File includes correspondence with members of Congress, the executive branch, federal agencies, and North Carolina legislators.

DISPOSITION INSTRUCTIONS: Print electronic records including email and interfile with related paper records. Destroy in office electronic versions of records including email when reference value ends. Transfer paper records to the State Records Center after 1 year. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 11622. LEGISLATIVE COMMITTEES AND BILLS FILE

Reference copies in paper and electronic formats of correspondence concerning committees of the General Assembly. File includes study committee reports, publications supporting legislative bills, and copies of legislative bills.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

ITEM 11623. STATE GOVERNMENT FILE

Reference copies in paper and electronic formats of records concerning state government. File includes budget and audit reports, correspondence, memorandums, publications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 1 year.

ITEM 11625. PROPOSED LEGISLATION FILE

Reference copies in paper and electronic formats of records concerning proposed bills sponsored by the Department of Insurance.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when administrative value ends.

ITEM 11627. NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS FILE

Reference copies in paper and electronic formats, of records including e-mail, concerning the National Association of Insurance Commissioners Executive Committees. File includes notices of conventions, agendas of meetings, minutes, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records including email when reference value ends.