

DEPARTMENT OF INSURANCE
ADMINISTRATIVE SERVICES
CONTROLLER'S OFFICE
BUDGET BRANCH

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

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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.

The Department of Insurance and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of Insurance agrees to establish and enforce internal policies that will be approved by the Department of Cultural Resources. The policy will specify how long those records must be retained, and when they must be destroyed.

E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 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

BUDGET BRANCH

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.

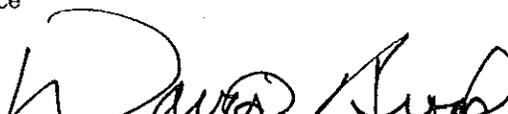
APPROVAL RECOMMENDED



Angie Brogden, Chief Records Officer
Department of Insurance



Jim Crooke, Budget Officer
Department of Insurance



David Brook, Director
Division of Historical Resources

APPROVED



Wayne Goodwin, Commissioner
and State Fire Marshal
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.

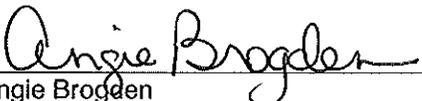
The Department of Insurance and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference 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.

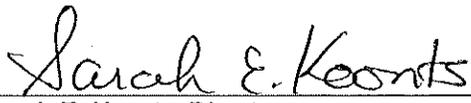
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated 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

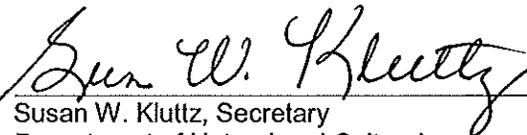


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Wayne Goodwin, Commissioner
Department of Insurance



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

**DEPARTMENT OF INSURANCE
ADMINISTRATION
CONTROLLER'S OFFICE
BUDGET BRANCH**

ITEM 3616. HEALTH BENEFITS RECONCILIATION FILE

Health benefits bills received by the agency. File also includes special reconciliation worksheets. Health Benefit Bills have not been received by agency since May 1, 2008. These Health Benefits Bills are now reconciled in Beacon.

DISPOSITION INSTRUCTIONS: Destroy in office remaining records 10 years after released from all audits.

ITEM 23232. JOURNALS FILE

Journals concerning daily financial transactions of the department. Information includes amounts of approved allotments, amounts of tax refunds made by the Department of Revenue in relationship to overpayments of insurance company taxes, corrective coding, and other financial data. File includes general journal entries, disbursement journal entries, and receipts journal entries.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after released from all audits.

ITEM 23235. W-2 REGISTERS (PRINTOUTS) FILE

Computer printouts concerning end-of-year reporting of all wage statements (W-2) issued for agency employees. Printouts include end-of-year gross amounts of taxable wages, FICA taxes withheld, federal taxes withheld, state taxes withheld, and other related data. Printouts have not been created since 2008 and original information resides in BEACON.

DISPOSITION INSTRUCTIONS: Destroy in office remaining records in office after 5 years.

ITEM 23239. FINANCIAL WORKING PAPERS FILE

Reference copies of records in paper and electronic formats, including email, concerning the formal preparation of financial reports and documents. File includes budget request forms, monthly reports, end-of-year reports, and other related records.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining records 3 year(s) after released from all audits.

ITEM 48946. MONTHLY BUDGET REPORTS FILE

Records in paper and electronic formats concerning the monthly budget reports.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.