**DEPARTMENT OF INSURANCE**
**ADMINISTRATION**
**EASTERN REGIONAL 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

**EASTERN REGIONAL 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.

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. 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**

**EASTERN REGIONAL OFFICE**

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

Angie Brogden, Chief Records Officer
Department of Insurance

Joan Buck

Joan Buck, Deputy Commissioner
Eastern Regional Office
Department of Insurance

David Brook

David Brook, Director
Division of Historical Resources

**APPROVED**

Wayne Goodwin

Wayne Goodwin, Commissioner and
State Fire Marshal
Department of Insurance

Linda A. Carlisle

Linda A. Carlisle, Secretary
Department of Cultural Resources

April 4, 2011

PDI

DEPARTMENT OF INSURANCE
ADMINISTRATION
EASTERN REGIONAL OFFICE

**ITEM 43124. ADMINISTRATIVE AND MANAGEMENT RECORDS FILE.** Records in paper and electronic formats, including e-mail, concerning the administration and management of the eastern regional office. File includes policies and procedures, plans and planning records, reports, correspondence, memorandums, organizational charts, division materials, and other related records.

DISPOSITION INSTRUCTIONS: Retention of the electronic version 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 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records when administrative value ends.

**ITEM 43126. CLOSED INSURANCE COMPLAINTS AND INQUIRIES FILE.** Reference copies of records concerning complaints and inquiries received by the eastern regional office. File includes complaint forms and written inquiries of complaints. File may include personal interview records, telephone notes, medical records, and other related records. (Comply with applicable provisions of G.S. 58-11 regarding confidentiality of investigative records and G.S. 58-394 regarding confidentiality of personal or privileged information.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 43134. SUSPENSE INSURANCE COMPLAINTS AND INQUIRIES FILE.** Records in paper and electronic formats, including e-mail, concerning complaints and inquiries received by the eastern regional office. File includes complaint forms and written inquiries of complaints. File may include personal interview records, telephone notes, medical records, and other related records. File also includes reference copies of all records. (Comply with applicable provisions of G.S. 58-11 regarding confidentiality of investigative records and G.S. 58-394 regarding confidentiality of personal or privileged information.)

DISPOSITION INSTRUCTIONS: Print and interfile e-mail records with related records. Retention of the electronic version 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 10 years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Transfer original and printed paper records to the Public Services Group, Consumer Services Division, Insurance Complaints and Inquiries File (Item 3527) when case is referred or closed. Transfer paper reference copies to the Closed Insurance Complaints and Inquiries File (Item 43126) when case is closed.