

DEPARTMENT OF INSURANCE
ADMINISTRATION
LEGISLATIVE COUNSEL

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 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. 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 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 Cultural Resources to destroy these records.

The Department of Insurance and the Department of 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 Cultural Resources regarding the creation and management of electronic records.

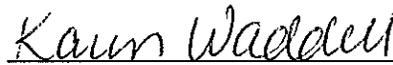
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any e-mail messages requiring retention longer than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

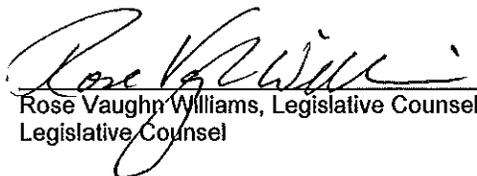
APPROVAL RECOMMENDED



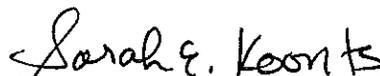
Angie Brogden, Chief Records Officer
Department of Insurance



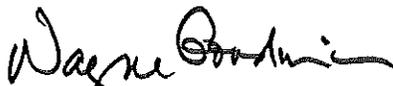
Karen Waddell, Paralegal
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Division of Archives and Records



Wayne Goodwin, Commissioner and
State Fire Marshal
Department of Insurance

APPROVED



Susan W. Klultz, Secretary
Department of Cultural Resources

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ITEM 2250. DECISIONS, NOTICE OF HEARINGS, AND ORDERS FILE

Records in paper and electronic formats concerning legal decisions made by the Commissioner. File includes notice of hearings and orders made by the Commissioner.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 25 years. Records will be held for agency in the State Records Center 15 additional years and then transferred to the custody of the Archives. Transfer electronic records after 15 years to the State Records Center for immediate transfer to the custody of the Archives.

ITEM 23249. LEGISLATION FILE

Records in paper and electronic formats, including e-mail, concerning legislative bills proposed by the Department of Insurance. File includes bills introduced but not ratified, ratified bills, bill status logs, and other related records.

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office after reference ends.

ITEM 41771. CONSTITUENT FILE

Records in paper and electronic formats, including e-mail, concerning correspondence received by other state agencies, members of the General Assembly and Congress, and the Governor, which are forwarded to the Department because they involve dealings between North Carolina citizens and entities regulated by the Department of Insurance. File includes tickler file, reference copies of requests and responses, and other related records

DISPOSITION INSTRUCTIONS: Print and interfile electronic records including e-mail with related paper records. Destroy in office electronic versions of records after reference value ends. Transfer paper records of original request to appropriate division. Destroy in office remaining paper records when reference value ends.

ITEM 50249. ADMINISTRATIVE PROCEDURES ACT (APA) RULES FILE

Records in paper and electronic formats concerning departmental APA rules and regulations which have been adopted, amended, or repealed and are used by the section for reference purposes. File includes notice forms, approval letters, copies of legislative reports concerning review of administrative rules, individual hearings records, audio recordings of hearings, state administrative code, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 25 years. Records will be held for agency in the State Records Center 15 additional years and then transferred to the custody of the Archives. Transfer electronic records after 15 years to the State Records Center for immediate transfer to the custody of the Archives.

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ITEM 50250. NCDOI RULEMAKING HEARINGS FILE

Records in paper and electronic formats, including e-mail, concerning rulemaking proceedings held in the NC Department of Insurance. File includes correspondence and transcripts or recordings of public hearings.

DISPOSITION INSTRUCTIONS: Transfer paper records to State Records Center after 25 years. Records will be held for agency in the State Records Center 15 additional years and then transferred to the custody of the Archives. Transfer electronic records after 15 years to the State Records Center for immediate transfer to the custody of the Archives.