

DEPARTMENT OF INSURANCE
AGENCY SERVICES DIVISION

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. **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 This schedule is to remain in effect until superseded.

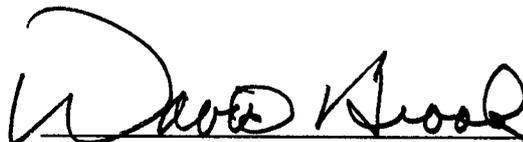
APPROVAL RECOMMENDED



Angie Brogden, Chief Records Officer
Department of Insurance



Etta Maynard, Deputy Commissioner
Agency Services Division

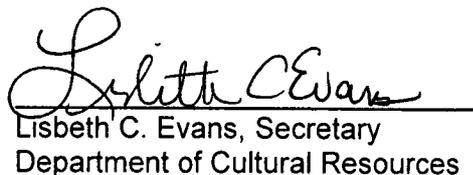


David Brook, Director
Division of Historical Resources

APPROVED



James E. Long, Commissioner
Department of Insurance



Lisbeth C. Evans, Secretary
Department of Cultural Resources

**DEPARTMENT OF INSURANCE
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ITEM 2294. COLLECTION AGENCIES (ACTIVE) FILE.

Records concerning collection agencies regulated by the Department of Insurance. File includes initial and renewal applications, investigation reports, complaints, correspondence, examination reports, and other related records. Names and addresses of applicants, amounts received, license numbers, tradenames, dates of applications, business owners' names and addresses, telephone and facsimile numbers, and other related information are entered into Customer Information Control System (CICS) Database (Electronic) File (Item 31798) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center 3 years from date of record.

ITEM 2295. COLLECTION AGENCIES (NEVER LICENSED) FILE.

Records in paper and electronic formats concerning companies never licensed by the Department of Insurance to become collection agencies. File includes initial applications, investigation reports, mail receipts, correspondence regarding the denial of becoming licensed, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 3 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.

ITEM 2296. BAIL BONDSMEN (ACTIVE) FILE.

Records in paper and electronic formats concerning active bail bondsmen. File includes applications, renewal applications, investigation reports, correspondence regarding inquiries from the Internal Revenue Service and other governmental entities involving each licensee, complaints, questionnaires, bail bondsmen background records, and examination reports. For fingerprint cards see: Bail Bondsmen Fingerprint Cards File (Item 47579). (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).) (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers and with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Transfer records to Bail Bondsmen (Inactive) File (Item 38536) when license is terminated.

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ITEM 2297. BAIL BOND RUNNERS (ACTIVE) FILE.

Records concerning bail bond runners employed by bail bondsmen. File includes initial applications, renewal applications, investigation reports, correspondence regarding Internal Revenue Service and other governmental inquiries regarding each licensee, complaints, questionnaires, and bail bond runners background investigation reports. Names and addresses of applicants, amounts received, license numbers, dates of applications, business owners' names and addresses, telephone and facsimile numbers, and other related information are entered into Bail Bond Runners Database (Electronic) File (Item 38537) immediately upon receipt. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Records transferred to Licensee File (Item 3469).

ITEM 2301. PREMIUM FINANCE QUARTERLY AND ANNUAL REPORTS FILE.

Reports concerning quarterly and annual financial statements for premium finance companies. Reports include amounts of premiums financed, number of financial agreements, number of contracts cancelled, and amounts of services charged.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year. Destroy records currently held in the State Records Center 1 year from date of record.

ITEM 3469. LICENSEE FILE.

Records in paper and electronic formats concerning the licensure of agents, brokers, limited representatives, adjustors, insurance business entities, motor clubs, premium finance companies, surety bondsmen, bail bond runners, and collection agencies previously qualified in North Carolina. Does not include information on Bail Bondsmen. File includes applications, exceptions, and other related records. Licensee names, addresses, Social Security numbers or permit number, license status, and other related data are entered into the Customer Information Control System (CICS) Database (Electronic) File (Item 31798), and updated routinely. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 3 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. Destroy microfilm currently held in the archives vault immediately.

ITEM 3892. LICENSEES APPOINTMENT AND TERMINATION FILE.

Records in paper and electronic formats concerning the appointment and termination of licenses for agents, brokers, limited representatives, adjustors, insurance business entities, motor clubs, premium finance companies, surety bondsmen, bail bond runners, and collection agencies. Licensees' names, addresses, license status, and other related data are entered into the Customer Information Control System (CICS) Database (Electronic) File (Item 31798), and updated routinely. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy paper records in office after information is entered into database. Destroy electronic records in office after 6 months.

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ITEM 11688. SURETY BONDSMEN (ACTIVE) FILE.

Records concerning surety bondsmen licensed by the Department of Insurance. File includes initial applications, background investigation reports, complaints, examination reports, correspondence from insurance companies regarding licensees, powers of attorney confirmations, and other related records. Names and addresses of applicants, dates of applications, names of insurance agencies that employ surety bondsmen, telephone and facsimile numbers, and other related information are entered into Surety Bondsmen Database (Electronic) File (Item 38545) immediately upon receipt. (Comply with applicable provisions of

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center 3 years from date of record.

ITEM 11689. SURETY BONDSMEN (NEVER LICENSED) FILE.

Records in paper and electronic formats concerning individuals applying to become surety bondsmen but never licensed. File includes applications, background investigation reports, complaints, examination reports, correspondence regarding the denial (withdrawal) of becoming licensed, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 3 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.

ITEM 11854. ANNUAL RENEWAL FILE.

Records in paper and electronic formats concerning the renewal of the licenses of resident and non-resident brokers, adjusters, appraisers, corporations, partnerships and limited insurance licenses. Agent names, addresses, license status, and other related data are entered into the Customer Information Control System (CICS) Database (Electronic) File (Item 31798), and updated routinely. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office after 3 year(s) 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.

ITEM 11857. BROKER BONDS FILE.

Bonds required by statute.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office paper and electronic records 1 year after cancellation of broker's license.

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ITEM 18543. STATE EXAMINATION RESULTS FILE.

Records in paper and electronic formats concerning state examination results of insurance agents and adjusters. File includes applications, registrations, printouts of results, reports of individual test administrations, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 7 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.

ITEM 18550. DUPLICATE LICENSE REQUESTS FILE.

Record forms in paper and electronic formats of requests for duplicate licenses. File may include an agency individual, collection agency, premium agency and other licenses. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 3 year(s) 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.

ITEM 31798. CUSTOMER INFORMATION CONTROL SYSTEM (CICS) DATABASE (ELECTRONIC) FILE.

Electronic records concerning insurance agents, brokers, adjusters, insurance companies, adjusting firms, premium finance companies, surety bail bondsmen, bail bond runners, collection agencies, and motor clubs. Electronic file includes names and addresses, Social Security numbers or permit number, types and status of licenses issued, company appointments and termination information, licensee regulatory information, and other related data. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) (File maintenance and backup procedures are conducted by Information Technology Services (ITS)).

DISPOSITION INSTRUCTIONS: Update in office routinely. Erase in office 3 years after license is cancelled.

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ITEM 31799. LICENSEE REGULATORY FILE.

Records in paper and electronic formats concerning regulatory information affecting licensed agents, brokers, and adjusters. File includes information regarding license suspensions and revocations, information regarding fines, investigative reports, hearing notices, and other related records. Data concerning licensees' violations of insurance statutes are entered into Customer Information Control System (CICS) Database (Electronic) File (Item 31798), and updated routinely. (Comply with applicable provisions of 5 USC 552a regarding records maintained on individuals.) (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records 7 years after cases are closed, 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.

ITEM 38492. MOTOR CLUBS (INACTIVE) FILE.

Records concerning inactive motor clubs formerly regulated by the Department of Insurance. File includes initial applications, policies, correspondence regarding the denial (withdrawal) of the licensing process, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center immediately.

ITEM 38493. PREMIUM FINANCE COMPANIES (INACTIVE) FILE.

Records concerning inactive premium finance companies formerly regulated by the Department of Insurance. File includes initial and renewal applications, investigation reports, correspondence regarding complaints, questionnaires, and other related records. (Records previously transferred to the State Records Center as Item 2300).

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center immediately.

ITEM 38536. BAIL BONDSMEN (INACTIVE) FILE.

Records in paper and electronic formats concerning inactive bail bondsmen. File includes initial applications, renewal applications, investigation reports, correspondence regarding inquiries from the Internal Revenue Service and other governmental entities involving each licensee, complaints, questionnaires, bail bondsmen background records, and examination reports. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 7 additional years and then destroyed. Destroy paper records currently held in the SRC 10 years from date of record. Destroy electronic records in office 10 years after date of record.

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ITEM 38537. BAIL BOND RUNNERS DATABASE (ELECTRONIC) FILE.

Electronic records concerning bail bond runners employed by bail bondsmen. Electronic file includes names and addresses of applicants, amounts received, license numbers, dates of applications, business owners' names and addresses, telephone and facsimile numbers, and other related data.

DISPOSITION INSTRUCTIONS: Records transferred to Customer Information Control System (CICS) Database (Electronic) File (Item 31798).

ITEM 38538. BAIL BOND RUNNERS (INACTIVE) FILE.

Records concerning bail bond runners formerly employed by bail bondsmen. File includes initial applications, renewal applications, investigation reports, correspondence, complaints, questionnaires, and bail bond runners background investigation reports. (Records previously transferred to the State Records Center as Item 2297). (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center immediately.

ITEM 38539. COLLECTION AGENCIES DATABASE (ELECTRONIC) FILE.

Electronic records concerning collection agencies regulated by the Department of Insurance. Electronic file includes names and addresses of applicants, amounts received, license numbers, dates of applications, trade names, business owners' names and addresses, telephone and facsimile numbers, and other related data.

DISPOSITION INSTRUCTIONS: Records transferred to Customer Information Control System (CICS) Database (Electronic) File (Item 31798).

ITEM 38540. COLLECTION AGENCIES (INACTIVE) FILE.

Records concerning inactive collection agencies formerly regulated by the Department of Insurance. File includes initial and renewal applications, investigation reports, complaints, correspondence, examination reports, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center 3 years from date of record.

ITEM 38541. MOTOR CLUBS DATABASE (ELECTRONIC) FILE.

Electronic records concerning active motor clubs regulated by the Department of Insurance. Electronic file includes names and addresses of applicants, amounts received, license numbers, dates of applications, business owners' names and addresses, telephone and facsimile numbers, and other related data.

DISPOSITION INSTRUCTIONS: Records transferred to Customer Information Control System (CICS) Database (Electronic) File (Item 31798).

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ITEM 38542. MOTOR CLUBS (NEVER LICENSED) FILE.

Records in paper and electronic formats concerning motor clubs never licensed by the department. File includes initial applications, investigation reports, mail receipts, correspondence regarding the denial (withdrawal) of becoming licensed, and other related records. (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 3 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.

ITEM 38543. PREMIUM FINANCE COMPANIES DATABASE (ELECTRONIC) FILE.

Electronic records concerning premium finance companies regulated by the Department of Insurance. Electronic file includes names and addresses of applicants, amounts received, license numbers, dates of applications, business owners' names and addresses, names of insurance agencies, telephone and facsimile numbers, and other related data.

DISPOSITION INSTRUCTIONS: Records transferred to Customer Information Control System (CICS) Database (Electronic) File (Item 31798).

ITEM 38544. PREMIUM FINANCE COMPANIES (NEVER LICENSED) FILE.

Records in paper and electronic formats concerning companies applying to become premium finance companies but never licensed. File includes initial applications, investigation reports, mail receipts, correspondence regarding the denial of being licensed, and other related records. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.) (File maintenance and backup procedures are conducted by Information Technology Services (ITS) and National Association of Insurance Commissioners (NAIC).)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Scan in office paper records. Destroy in office paper copies of scanned records after 5 days and when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Destroy in office all records in paper and electronic records after 3 year(s) 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.

ITEM 38545. SURETY BONDSMEN DATABASE (ELECTRONIC) FILE.

Electronic records concerning active surety bondsmen licensed by the Department of Insurance. Electronic file includes names and addresses of applicants, dates of applications, names of insurance agencies that employs surety bondsmen, telephone and facsimile numbers, and other related data.

DISPOSITION INSTRUCTIONS: Records transferred to Customer Information Control System (CICS) Database (Electronic) File (Item 31798).

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ITEM 38546. SURETY BONDSMEN (INACTIVE) FILE.

Records concerning inactive surety bondsmen formerly licensed by the Department of Insurance. File includes initial applications, background investigation reports, complaints, examination reports, correspondence from insurance companies regarding licensees, powers of attorney confirmations, and other related records. (Records previously transferred to the State Records Center as Item 11688.) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigative reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Function and records transferred to Licensee File (Item 3469). Destroy records currently held in the State Records Center 3 years from date of record.

ITEM 47579. BAIL BONDSMEN FINGERPRINT CARDS FILE.

Fingerprint cards of licensees required as background check prior to issuance of license. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of investigation reports and criminal intelligence information compiled by public law enforcement agencies.)

DISPOSITION INSTRUCTIONS: Destroy in office after 90 days and once background check has been completed.

ITEM 47580. SURETY AND PROFESSIONAL BAIL BONDSMEN MONTHLY REPORTS FILE.

Monthly written reports showing all bonds the bondsmen are responsible for as of the first of each month as required by G.S. 58-71-165.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.