

**DEPARTMENT OF INSURANCE
COMPANY SERVICES GROUP
ALTERNATIVE MARKETS DIVISION
UNAUTHORIZED PLAN INVESTIGATIONS SECTION**

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 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. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. 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.

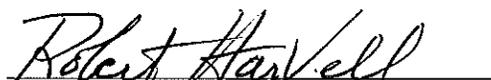
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated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

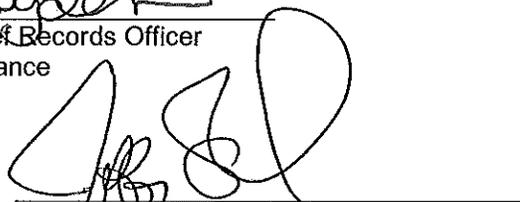
APPROVAL RECOMMENDED



Angie Bogden, Chief Records Officer
Department of Insurance



Robert Harvell, Chief Examiner
Unauthorized Plan Investigations Section



Jeffery A. Trendel, Deputy Commissioner
Alternative Markets Division



Raymond Martinez,
Senior Deputy Commissioner
Company Services Group



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Wayne Goodwin,
Commissioner and State Fire Marshal
Department of Insurance



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

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ITEM 47228. SPECIAL REVIEW INVESTIGATIVE AND RELATED CONSUMER COMPLAINTS FILE

Investigative materials and consumer complaints in paper and electronic formats regarding suspected unauthorized insurance plans. File includes investigative materials, initial written inquiries and complaints, personal interview notes, telephone notes, correspondence with companies and individuals, personal medical information and other related records. (Comply with applicable provisions of G.S. 58-2-100 regarding confidentiality of investigative records and G.S. 58-39-75 regarding confidentiality of personal or privileged information.)

DISPOSITION INSTRUCTIONS: Scan in office paper records. Destroy in office paper copies of scanned records immediately after all quality control procedures have been completed. Retain in office electronic records permanently.