

**DEPARTMENT OF INSURANCE  
COMPANY SERVICES GROUP  
FINANCIAL EVALUATION DIVISION  
SPECIAL ENTITIES 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

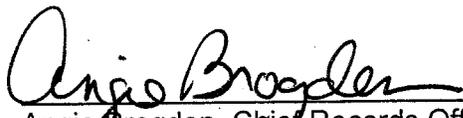
**SPECIAL ENTITIES SECTION**

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**

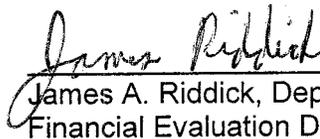
**SPECIAL ENTITIES SECTION**

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 This schedule is to remain in effect until superseded.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



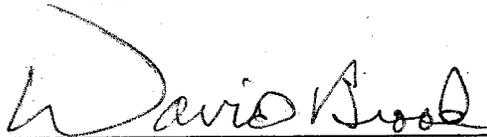
Angie Brogden, Chief Records Officer  
Department of Insurance



James A. Riddick, Deputy Commissioner  
Financial Evaluation Division

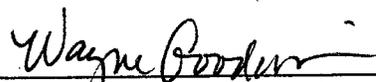


Raymond Martinez, Senior Deputy Commissioner  
Company Services Group

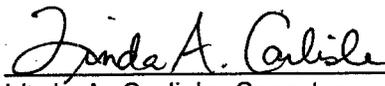


David Brook, Director  
Division of Historical Resources

**APPROVED**



Wayne Goodwin, Commissioner  
Department of Insurance



Linda A. Carlisle, Secretary  
Department of Cultural Resources

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**ITEM 48346. CONTINUING CARE RETIREMENT COMMUNITIES (CCRC)**

**APPLICATION FILE.** Records in paper and electronic formats containing applications and related documentation supporting an applicant CCRC applying to obtain a license for the initial notification, the start-up certificate, the preliminary certificate, and the permanent license.

**DISPOSITION INSTRUCTIONS:** Transfer inactive paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years, and then destroyed. Destroy in office inactive electronic records after 10 years.

**ITEM 41772. CONTINUING CARE RETIREMENT COMMUNITIES (CCRC) ANNUAL**

**FILINGS FILE.** Records in paper and electronic formats concerning financial status of continuing care facilities. File includes disclosure statements, certified audited financial statements, residency agreements and contracts, and other related records.

**DISPOSITION INSTRUCTIONS:** Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years, and then destroyed. Destroy in office inactive electronic records after 10 years.

**ITEM 41773. CORRESPONDENCE AND FACILITY ANALYSIS FILE.** Records in paper and electronic formats containing the financial analysis of continuing care retirement communities (CCRC) by agency staff. File includes licensing conditions, correspondence, electronic correspondence, i.e. e-mail, financial analysis, and other related records.

**DISPOSITION INSTRUCTIONS:** Destroy in office paper and electronic records after 3 years.

**ITEM 48344. CONTINUING CARE RETIREMENT COMMUNITIES (CCRC)**

**PUBLICATIONS FILE/CCRC REFERENCE GUIDE.** Publications in paper and electronic formats produced by the agency.

**DISPOSITION INSTRUCTIONS:** Transfer 1 electronic copy to the State Document Clearinghouse, State Library of North Carolina. Contact the State Document Clearinghouse, State Library of North Carolina before the transfer of electronic publications. Destroy in office paper and electronic records when reference value ends, but no later than 5 years.

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**ITEM 41774. MULTIPLE EMPLOYER WELFARE ARRANGEMENTS (MEWA) FINANCIAL FILE.** Records in paper and electronic formats containing financial analyses of Multiple Employer Welfare Arrangements (MEWAs) conducted by the agency for the Managed Care Division. File includes financial statements, analysis reports, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer financial determination notification to the Technical Services Group, Managed Care and Health Benefits Division. Destroy in office remaining records after 2 years.

**ITEM 41775. RISK RETENTION GROUP (RRG) ANNUAL STATEMENTS FILE.** Records in paper and electronic formats concerning annual financial statements filed by registered risk retention groups (RRGs). Risk-based Capital Reports are subject to G.S. 58-12-35 and shall remain confidential and not be made public or be subject to subpoena, other than by the Commissioner, and then only for enforcement actions.

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records in office after 3 years.

**ITEM 48336. RISK RETENTION GROUP (RRG) PREMIUM TAX REMITTANCE FILE.** Completed Tax Forms, Electronic Premium Tax Check Log, and correspondence filed by registered risk retention groups (RRGs).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 41777. RISK RETENTION GROUP CORRESPONDENCE FILE.** Records in paper and electronic formats concerning correspondence and electronic correspondence, i.e. e-mail, with registered risk retention groups (RRGs), and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years.

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**ITEM 41778. THIRD PARTY ADMINISTRATOR (TPA) FINANCIAL FILINGS FILE.**

Records in paper and electronic formats concerning financial analyses of Third Party Administrators (TPAs) conducted by the agency for the Technical Services Group, Life and Health Division. File includes drafts, working papers, and reference copies of final reports, electronic correspondence, i.e. e-mail financial determination notifications and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper and electronic financial determination notification to the Technical Services Group, Life and Health Division, Active Third Party Administrator (TPA) File (Item 41790) when analysis is complete. Destroy remaining paper and electronic records in office after 2 years.

**ITEM 42332. SELF-INSURED INDIVIDUAL EMPLOYERS APPLICATION FOR LICENSURE FILE.**

Records in paper and electronic formats concerning applications by individual employers to self-insure workers' compensation as provided in G.S. 97-180. File includes application correspondence, Applications to Self-Insure (Form 10-WC) and applicable attachments, Parental Guaranty of Self-Insurer of Workers' Compensation (Form 15-WC), and the License to Self-Insure.

DISPOSITION INSTRUCTIONS: Transfer paper records of terminated companies where the individual employer is no longer licensed to self-insure to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years and then destroyed. Destroy in office electronic records of terminated companies after 10 years. Retain in office paper and electronic active self-insured individual employer records permanently.

**ITEM 11837. SELF-INSURED INDIVIDUAL EMPLOYERS CORRESPONDENCE FILE.**

Records in paper and electronic formats concerning annual filing submissions by individual employers who self-insure workers' compensation as provided by G.S. 97-93. File includes correspondence in paper and electronic formats pertaining to annual filing submissions, organizational changes, deposit reduction requests, Third Party Administrator (TPA) changes, as well as, disciplinary action pursued by the department.

DISPOSITION INSTRUCTIONS: Transfer paper records of terminated companies where the individual employer is no longer licensed to self-insure, to the State records Center after 3 years. Records will be held for the agency in the State Records Center an additional 7 years and then destroyed. Destroy in office electronic records of terminated companies after 10 years. Destroy in office paper and electronic active self-insured individual employer records after 10 years.

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**ITEM 42334. SELF-INSURED INDIVIDUAL EMPLOYERS EXCESS INSURANCE**

**POLICY FILE.** Records in paper and electronic formats concerning excess insurance policies relating to individual employers who self-insure their workers' compensation liabilities, as provided in G.S. 97-180. File includes evidence of excess insurance policies.

**DISPOSITION INSTRUCTIONS:** Transfer paper records of terminated companies where the individual employer is no longer licensed to self-insure to the State Records Center after 3 years. Records will be held for the agency in the State Records Center an additional 7 years and then destroyed. Destroy electronic records of terminated companies in office after 10 years. Destroy paper and electronic active self-insured individuals' employer's records in office after 10 years.

**ITEM 42340. SELF-INSURED INDIVIDUAL EMPLOYERS FINANCIAL STATEMENTS**

**FILE.** Annual certified audited financial statements of individual employers who self-insure workers' compensation insurance as provided in G.S. 97-180.

**DISPOSITION INSTRUCTIONS:** Destroy in office after 3 years. Destroy all records in the State Records Center immediately.

**ITEM 42341. SELF-INSURED INDIVIDUAL EMPLOYERS WORKERS'**

**COMPENSATION BENEFITS AND OBLIGATIONS FILE.** Records in paper and electronic formats concerning actuarial reports filed by individual employers who are licensed to self-insure their workers' compensation liabilities as provided in G.S. 97-180. File includes actuarial certifications, Statement of Workers' Compensation Benefits and Obligations, and annual loss reports filed by individual employers.

**DISPOSITION INSTRUCTIONS:** Transfer paper records of terminated companies where the individual employer is no longer licensed to self-insure, to the State Records Center after 3 years. Records will be held for the agency in the State Records Center an additional 7 years and then destroyed. Destroy in office electronic records of terminated companies after 10 years. Destroy in office paper and electronic active self-insured individual employer records after 10 years.

**ITEM 48337. SELF-INSURED INDIVIDUAL EMPLOYERS ANALYSIS FILE.**

Records in paper and electronic formats concerning the financial analysis of individual companies licensed to self-insure their workers' compensation liabilities. File includes analysis worksheets, review memos, and second-level review comments and electronic correspondence, i.e. e-mail and related records.

**DISPOSITION INSTRUCTIONS:** Destroy in office paper and electronic records after 3 years.

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**ITEM 48338. SELF-INSURED INDIVIDUAL EMPLOYERS MISCELLANEOUS FILE.**

Records in paper and electronic formats concerning individual employers who are licensed to self-insure their workers' compensation liabilities, add, change, or terminate forms; revocation orders; delinquency notices; parental guarantees, power of attorney forms, and other sources of information.

DISPOSITION INSTRUCTIONS: Transfer paper records of inactive self insured employer files to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years, and then destroyed. Destroy in office electronic records after 10 years.

**ITEM 48339. SELF-INSURED INDIVIDUAL EMPLOYERS SURETY BONDS AND LETTERS OF CREDIT FILES.**

Records in paper and electronic formats concerning original surety bonds, letters of credit, and related endorsements, as well as information related to the cancellation of surety bonds and letters of credit; other security deposit correspondences received by the underwriter of the deposit; and correspondence with the Department's Collateral Security Unit.

DISPOSITION INSTRUCTIONS: Retain in office paper and electronic records permanently.

**ITEM 42336. SELF-INSURED GROUP FUNDS FINANCIAL REVIEW FILE.** Records in paper and electronic formats concerning the financial analysis of group funds that self-insure their workers' compensation liabilities as provided in G.S. 97-180. File includes correspondence and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 7 additional years and then destroyed. Destroy in office electronic records after 10 years.

**ITEM 42337. SELF-INSURED GROUP FUNDS FINANCIAL STATEMENTS FILE.**

Annual certified audited financial statements of group funds that self-insure workers' compensation as provided in G.S. 97-180. Statements dated after December 31, 2005 filed in the Special Entities Section.

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 7 additional years and then destroyed. Destroy in office electronic records after 10 years.

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**ITEM 42338. SELF-INSURED GROUP FUNDS PERMANENT FILE.** Records in paper and electronic formats concerning formation and management of group funds that self-insure their workers' compensation liabilities as provided in G.S. 97-180. File includes applications, articles of incorporation, bylaws, authorization forms, management, investment, indemnity, servicing company, and reinsurance agreements, correspondence, electronic correspondence, and other related records.

**DISPOSITION INSTRUCTIONS:** Transfer inactive self-individual group fund records to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years, and then destroyed. Destroy in office inactive electronic records after 10 years.

**ITEM 42339. SELF-INSURED GROUP FUNDS SPECIAL REQUESTS FILE.** Records in paper and electronic formats concerning special requests by group funds that self-insure their workers' compensation liabilities as provided in G.S. 97-180. File includes correspondence, required informational filings, applicable attachments, and other related records.

**DISPOSITION INSTRUCTIONS:** Transfer inactive self-individual group fund records to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years, and then destroyed. Destroy in office inactive electronic records after 10 years.

**ITEM 42394. SELF-INSURED GROUP FUNDS MERGER OR ACQUISITION STATEMENT FILE.** Records in paper and electronic formats concerning the acquisition of control of or merger with group funds that self-insure their workers' compensation liabilities as provided in G.S. 58-47-75. File includes Statement Regarding the Acquisition of Control Of or Merger with a Self-Insured Group Fund (Form A).

**DISPOSITION INSTRUCTIONS:** Transfer paper records of inactive self-individual group fund files to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years, and then destroyed. Destroy in office inactive electronic records after 10 years.

**ITEM 42395. SELF-INSURED GROUP FUNDS ANNUAL STATEMENTS FILE.** Annual financial statements filed by group funds that self-insure workers' their compensation liabilities as provided in G.S. 58-47-75. Statements are prepared in accordance with the National Association of Insurance Commissioners (NAIC) guidelines.

**DISPOSITION INSTRUCTIONS:** Destroy in office after 3 years.

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**ITEM 42396. SELF-INSURED GROUP FUNDS QUARTERLY STATEMENTS FILE.**

Quarterly financial statements filed by group funds that self-insure their workers' compensation liabilities as provided in G.S. 58-47-75. Statements are prepared in accordance with the National Association of Insurance Commissioners (NAIC) guidelines.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**ITEM 489. SELF-INSURED INDIVIDUAL EMPLOYERS FORMS AND PRINTOUTS**

**FILE.** Records in paper and electronic formats concerning individual employers who self-insure their workers' compensation liabilities as provided in G.S. 97-180. File includes Individual Employers Self-Insured For Workers' Compensation Add/Change/Terminate forms, printouts from Self-Insurer Database (Electronic) File (Item 42335), and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 13418. SELF-INSURERS PAYROLL REPORTS FILE.** Records concerning previously-collected payroll information received by the agency from group funds and individual employers who self-insure their workers' compensation liabilities as provided in G.S. 97-180. File includes payroll correspondence, payroll reports, invoices, check copies, and other related records. (Records dated after 1996 are submitted to the Department of Revenue.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records in office destroyed. Function transferred to Department of Revenue, Insurance Companies Tax Forms File (Item 12334).

**ITEM 42333. APPLICATION FOR MEMBERSHIP (FORM 18-WC) FILE.**

Applications for individuals' memberships in self-insured group funds which were submitted to the Department of Insurance. (As of January 1, 1998, forms were submitted directly to each self-insured group fund.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records transferred to the State Records Center. Destroy all records in the State Records Center immediately.

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**ITEM 42335. SELF-INSURER DATABASE (ELECTRONIC) FILE.**

Electronic records concerning the review and analysis of group funds and individual employers who self-insure their workers' compensation liabilities as provided in G.S. 97-180 and G.S. 58-47-75. Electronic file includes company contact information, financial data, excess insurance data, and other related data.

DISPOSITION INSTRUCTIONS: Transfer function and records to Self-Insured Individual Employer's Analysis File (Item 48337), Self-Insured Individual Employers Excess Insurance Policy File (Item 42334), Self-Insured Individual Employers Financial Statements File (Item 42340), Self-Insured Group Funds Financial Statements File (Item 42337), Self-Insured Group Funds Merger or Acquisition Statement File (Item 42394), and Self-Insured Group Funds Permanent File (Item 42338).

**ITEM 48340. PROFESSIONAL EMPLOYER ORGANIZATION (PEO) LICENSE APPLICATION /DE MINIMUS NOTIFICATION FILE.** Records in paper and electronic formats concerning active filing submissions by professional employer organizations who provide professional employer services under a contract between a licensee and a client company as provided by G.S. 58-89A. File includes correspondence and electronic correspondence, forms, financial statements, workers' compensation certificates, health and other employee benefit documentation, deposit, financial reviews, license, revocation and cease orders, client initiations and terminations, and fingerprint background checks. Fingerprint background checks are subject to G.S. 55-89A-60 and shall remain confidential and not be made public or be subject to subpoena, other than by the Commissioner, and then only for enforcement actions.

DISPOSITION INSTRUCTIONS: Transfer paper inactive PEO records to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years and then destroyed. Destroy in office inactive electronic records after 10 years.

**ITEM 48341. PROFESSIONAL EMPLOYER ORGANIZATION (PEO) ANNUAL FILINGS.** Records in paper and electronic formats concerning professional employer organization annual filings, periodic filings, annual reviews and analysis and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 3 years. Records will be held for agency in the State Records Center an additional 7 years and then destroyed. Destroy in office electronic records after 10 years.

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**ITEM 48342. PROFESSIONAL EMPLOYER ORGANIZATION (PEO) SURETY BONDS AND LETTERS OF CREDIT FILES.** Records in paper and electronic formats concerning original surety bonds, letters of credit, and related endorsements, as well as information related to the cancellation of surety bonds and letters of credit; other security deposit correspondences received by the underwriter of the deposit; and correspondence with the Department's Collateral Security Unit.

**DISPOSITION INSTRUCTIONS:** Retain paper and electronic records in office permanently.

**ITEM 48343. ATTORNEY GENERAL OPINIONS AND RULINGS FILE.** Reference copies of legal opinions and rulings and related records prepared by the Department of Justice.

**DISPOSITION INSTRUCTIONS:** Destroy in office when reference value ends, but no later than 10 years.

**ITEM 48345. PROFESSIONAL DEVELOPMENT FILE.** Records in paper and electronic formats concerning the professional development of agency personnel. File includes reference copies of certificates of attendance and an electronic listing.

**DISPOSITION INSTRUCTIONS:** Destroy in office paper and electronic reference copies of certificates of course completion for each employee after 5 years or when the documents are no longer needed for accreditation purposes, whichever occurs later. Destroy electronic records for each employee after the employee is no longer employed by the Company Services Group.

**ITEM 38874. PURCHASING GROUPS (ACTIVE) CORRESPONDENCE FILE.** Records in paper and electronic formats concerning correspondence regarding Purchasing Groups currently registered with the Department of Insurance. File includes memorandums regarding groups' solvency, department or company statistical forms, and other related records.

**DISPOSITION INSTRUCTIONS:** Transfer to Purchasing Groups (Inactive) Correspondence File (Item 38875) after registration expires.

**ITEM 38875. PURCHASING GROUPS (INACTIVE) CORRESPONDENCE FILE.** Correspondence concerning Purchasing Groups formerly registered with the Department of Insurance. File also includes memorandums regarding groups' solvency, department or company statistical forms, and other related records.

**DISPOSITION INSTRUCTIONS:** Destroy in office after 1 year.