

DEPARTMENT OF INSURANCE  
OMBUDSMAN SERVICES GROUP  
SENIORS' HEALTH INSURANCE INFORMATION PROGRAM

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

SENIORS' HEALTH INSURANCE INFORMATION PROGRAM

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

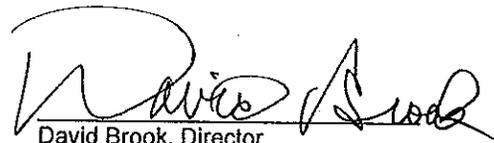
SENIORS' HEALTH INSURANCE INFORMATION PROGRAM

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.

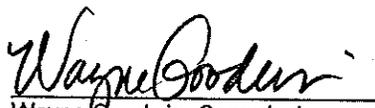
APPROVAL RECOMMENDED

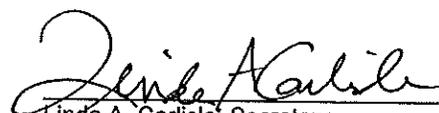
  
Angie Brogden, Chief Records Officer  
Department of Insurance

  
Carla S. Obiol, Senior Deputy Commissioner  
Ombudsman Services Group  
Department of Insurance

  
David Brook, Director  
Division of Historical Resources

APPROVED

  
Wayne Goodwin, Commissioner  
Department of Insurance

  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

## DEPARTMENT OF INSURANCE

### PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

#### **ORGANIZATIONAL NAME CHANGE**

An organizational name change to this Program Records Retention and Disposition Schedule is hereby approved. The Program Records Retention and Disposition Schedule reflects the following organizational changes:

1. **Administrative Services to Administration**
2. **Office of the Commissioner to Administration**
3. **Ombudsman Services Group to Consumer Assistance Group**
4. **Public Services Group to Producers, Fraud and Products Group**
5. **Public Services Group, Administration to Producers, Fraud and Products Group, Senior Deputy Commissioner**
6. **Technical Services Group, Life and Health Division to Producers, Fraud and Products Group, Life and Health Division**
7. **Technical Services Group, Property and Casualty to Producers, Fraud and Products Group, Property and Casualty**
8. **Technical Services Group, Market Regulations Division to Company Services Group, Market Regulations Division**

No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent versions of the listed schedules. 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

#### **Department of Insurance**

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 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. 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.

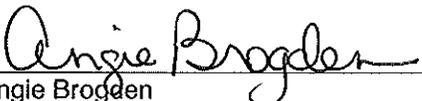
The Department of Insurance and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference 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.

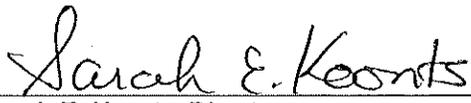
The Department of Insurance and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of Insurance agrees to comply with all policies, standards, 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.

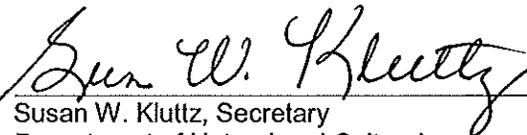
APPROVAL RECOMMENDED

  
\_\_\_\_\_  
Angie Brogden  
Chief Records Officer

  
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Sarah E. Koonts, Director  
Division of Archives and Records

APPROVED

  
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Wayne Goodwin, Commissioner  
Department of Insurance

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

**DEPARTMENT OF INSURANCE  
CONSUMER ASSISTANCE GROUP  
SENIORS' HEALTH INSURANCE INFORMATION PROGRAM (SHIIP)**

**ITEM 37600. LOCAL COORDINATING SITES FILE**

Records in paper and electronic formats, concerning activities regarding the Seniors' Health Insurance Information Program (SHIIP) in each county. File includes correspondence involving communications between the SHIIP office staff and county coordinators, volunteer counselors, and partners in each county; mini-grant contracts, and other related records.

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

**ITEM 37601. CENTERS OF MEDICARE AND MEDICAID SERVICES (CMS) FILE**

Records in paper and electronic formats, including e-mail, concerning health insurance, counseling, and assistance grant programs sponsored by Centers of Medicare and Medicaid Services (CMS). File includes grant applications, correspondence regarding the development of grant proposals, award notifications, financial reports, and other related records.

DISPOSITION INSTRUCTIONS: Retention 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 37602. INSURANCE COUNSELING CORRESPONDENCE FILE**

Correspondence in paper and electronic formats, written to individuals inquiring about health insurance concerns.

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

**ITEM 37603. LONG-TERM CARE POLICY INFORMATION FILE**

Reference copies in paper and electronic formats, of policy contracts approved by the Department of Insurance regarding long-term care insurance for individuals.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

**ITEM 37604. MEDICARE SUPPLEMENT POLICY INFORMATION FILE**

Records in paper and electronic formats, concerning Medicare Supplement policy contracts approved by the Department of Insurance. File includes Medicare Supplement policy contracts, applications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

**ITEM 37769. BIENNIAL REPORTS (ELECTRONIC) FILE**

Biennial reports in electronic format, concerning accomplishments and activities of the Seniors' Health Insurance Information Program (SHIIP). Reports include narrative descriptions and statistical summaries of SHIIP's involvement in North Carolina.

DISPOSITION INSTRUCTIONS: Function and records transferred to Assistant Commissioner, Public Information Office, Biannual Reports (Electronic) File, (Item 48537).

**ITEM 37770. MASTER DATA TABLE DATABASE - SENIORS' HEALTH INSURANCE INFORMATION PROGRAM (SHIIP) INFORMATION TECHNOLOGY SYSTEM (SITS) DATABASE (ELECTRONIC) FILE**

Electronic records concerning individuals who are coordinators, volunteers, or partners for Seniors' Health Insurance Information Program (SHIIP). Electronic file includes names and addresses of volunteers, telephone numbers, description of current and/or former occupations, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when reference value ends.

**DEPARTMENT OF INSURANCE  
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**ITEM 37772. SENIORS' HEALTH INSURANCE INFORMATION PROGRAM (SHIIP) REGISTRATION FORMS FILE**

Completed forms in paper and electronic formats, received from individuals who are volunteers for Seniors' Health Insurance Information Program (SHIIP). Forms include names and addresses of volunteers, telephone numbers, and description of current and/or former occupations, previous volunteer experience, and other related information. Names and addresses of volunteers, telephone numbers, description of current and/or former occupations, and other related information are entered into Master Database - Seniors' Health Insurance Information Program (SHIIP) Information Technology System (SITS) Database (Electronic) File, (Item 37770) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic 3 years after information has been entered into computer.

**ITEM 37773. VOLUNTEER COUNSELING REPORTS DATABASE (ELECTRONIC) FILE**

Electronic records concerning counseling activities performed by volunteers who have been trained by State Seniors' Health Insurance Information Program (SHIIP) personnel. Electronic file includes each client's and counselor's name, dates of counseling sessions, names of counseling sites, names and addresses of clients, birthdates, status of each client's current health insurance coverage, total dollar amounts saved by clients, and other related data.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**ITEM 37774. VOLUNTEER COUNSELING REPORTS (NATIONAL PERFORMANCE REPORTING) (NPR) DATA) FILE**

Reports in paper and electronic formats, include e-mail, concerning counseling activities performed by volunteers who have been trained by State Seniors' Health Insurance Information Program (SHIIP) personnel. Reports include each client's and counselor's name, dates of counseling sessions, counseling sites, names and addresses of clients, birthdates, status of each client's current health insurance coverage, total dollar amounts saved by clients, and other related information. Clients' names and addresses, dates of counseling sessions, counselors' names and other related information are entered into SHIIPtalk (National Ship Resource Center) National Performance Report (NPR) Database (Electronic) File (Item 49485) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Retention 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 2 years after information has been entered into computer.

**ITEM 37775. VOLUNTEER COUNSELORS' PROFILE FILE**

Computer printouts concerning volunteer counselors' profile. Printouts include names and addresses, names of counties, telephone numbers, and other related information. (Printouts are generated from Volunteer Counseling Reports Database (Electronic) File (Item 37773).)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

**DEPARTMENT OF INSURANCE  
CONSUMER ASSISTANCE GROUP  
SENIORS' HEALTH INSURANCE INFORMATION PROGRAM (SHIIP)**

**ITEM 49485. SHIPTALK (NATIONAL SHIP RESOURCE CENTER) NATIONAL PERFORMANCE REPORTING (NPR) DATABASE (ELECTRONIC) FILE.**

Electronic records concerning counseling activities performed by coordinators, volunteers, and partners who have been trained by State Seniors' Health Insurance Information Program (SHIIP) personnel. Electronic file includes each client's and counselor's name, dates of counseling sessions, names of counseling sites, names and addresses of clients, birthdates, status of each client's current health insurance coverage, total dollar amounts saved by clients, and other related data including Unique Identification Numbers.

**DISPOSITION INSTRUCTIONS:** Destroy in office electronic records for Unique Identification Numbers when reference value ends. Destroy in office remaining electronic records after 6 years and 3 months.