

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

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.

The Department of Insurance and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires 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 and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same agency function.

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 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



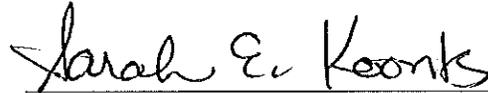
Mark Tyler, Acting Chief Records Officer
Department of Insurance



Van Braxton, Director
Seniors' Health Insurance Information Program
(SHIP)

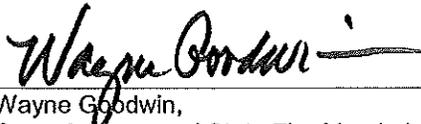


Carla Obiol,
Senior Deputy Commissioner
Consumer Assistance Group

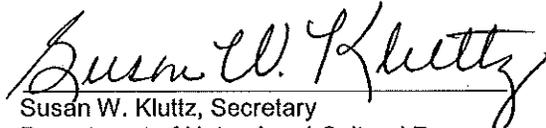


Sarah E. Koontz, Director
Division of Archives and Records

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 37600. LOCAL COORDINATING SITES FILE

Records 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 after 5 years.

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

Records 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. (Comply with applicable provisions of Health Care Financing Administration Guidelines NC1-440-80-3, Item 1 regarding retention of records concerning the CMS grant management program.)

DISPOSITION INSTRUCTIONS: Close out file upon completion of project period or upon completion of final audit (if required), whichever is later. Destroy after a total retention of 6 years after the close out.

ITEM 37602. INSURANCE COUNSELING CORRESPONDENCE FILE

Correspondence written to individuals inquiring about health insurance concerns. (Comply with applicable provisions of G.S. 58-2-105 regarding the confidentiality of medical records and with 45 CFR Part 164 Subpart E regarding confidentiality of medical records).

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 37603. LONG-TERM CARE POLICY INFORMATION FILE

Copies of policy contracts approved by the Department of Insurance regarding long-term care insurance for individuals.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 37604. MEDICARE SUPPLEMENT POLICY INFORMATION FILE

Records 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 after 5 years.

ITEM 37772. SENIORS' HEALTH INSURANCE INFORMATION PROGRAM (SHIIP) REGISTRATION FILE

Records in paper and electronic formats, concerning individuals who are volunteers for Seniors' Health Insurance Information Program (SHIIP). File include names and addresses of volunteers, telephone numbers, and description of current and/or former occupations, previous volunteer experience, registration forms 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 the database Seniors' Health Insurance Information Program (SHIIP) Information Technology System (SITS). (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office paper records 10 days after information entered into the database Seniors' Health Insurance Information Program (SHIIP) Information Technology System (SITS). Destroy in office remaining records after 3 years.

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ITEM 37773. VOLUNTEER COUNSELING REPORTS (ELECTRONIC) FILE

Electronic records concerning counseling activities performed by volunteers who have been trained by State Seniors' Health Insurance Information Program (SHIIP) personnel. 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. (Comply with applicable provisions of G.S. 58-2-105 regarding the confidentiality of medical records and with 45 CFR Part 164 Subpart E regarding confidentiality of health records).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 37774. VOLUNTEER COUNSELING REPORTS, SHIP (NATIONAL PERFORMANCE REPORTING) (NPR) SYSTEM FILE

Reports in paper and electronic formats, 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 the national database SHIP National Performance Reporting (NPR) System immediately upon receipt. (Comply with applicable provisions of G.S. 58-2-105 regarding the confidentiality of medical records and with 45 CFR Part 164 Subpart E regarding confidentiality of health records).

DISPOSITION INSTRUCTIONS: Destroy in office paper records 10 days after information has been entered into the national database SHIP National Performance Reporting (NPR) System. Destroy in office remaining records after 2 years.

ITEM 50649. HEALTH INSURANCE PLAN COUNSELING FILE

Records concerning counseling activities performed by coordinators, volunteers, and partners who have been trained by State Seniors' Health Insurance Information Program (SHIIP) personnel. File includes Prescription Drug Plan Finder Tool questionnaire, Medicare drug plan comparison, Medicare Advantage plan comparison, application to plan, enrollment confirmation number from plan, cover letter and other related records. Information entered into the national database SHIP National Performance Reporting (NPR) System (Comply with applicable provisions of G.S. 58-2-105 regarding the confidentiality of medical records and with 45 CFR Part 164 Subpart E regarding confidentiality of health records).

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

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**The following items are either
Discontinued or Transferred.**

ITEM 37770. SENIORS' HEALTH INSURANCE INFORMATION PROGRAM (SHIIP) INFORMATION TECHNOLOGY SYSTEM (SITS) DATABASE (ELECTRONIC) FILE

Electronic data records concerning individuals who are coordinators, volunteers, or partners for Seniors' Health Insurance Information Program (SHIIP). Data records include names and addresses of volunteers, telephone numbers, description of current and/or former occupations, previous volunteer experience and other related information. (Comply with applicable provisions of 5 USC Section 552a regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to Seniors' Health Insurance Information Program (SHIIP) Registration File (Item 37772).

ITEM 49485. SHIPTALK (NATIONAL SHIP RESOURCE CENTER) NATIONAL PERFORMANCE REPORTING (NPR) SYSTEM 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: Item discontinued. Records are maintained in the national database, SHIP National Performance Reporting (NPR) System.