

DEPARTMENT OF INSURANCE
OFFICE OF THE COMMISSIONER
GENERAL COUNSEL

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**

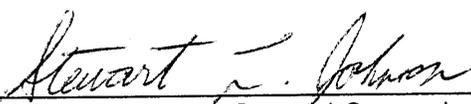
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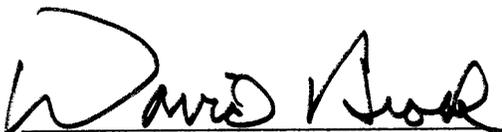
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

Angie Brogden

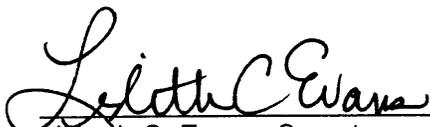
Sylvia A. East, Chief Records Officer
Department of Insurance


Stewart Johnson, General Counsel
Department of Insurance


David Brook, Director
Division of Historical Resources

APPROVED


James E. Long, Commissioner
Department of Insurance


Lisbeth C. Evans, Secretary
Department of Cultural Resources

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ITEM 2251. PUBLIC HEARINGS FILE. Transcripts and exhibits of all public hearings recorded by the Department of Insurance.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 47835. CONFLICT OF INTEREST DOCUMENTS FILE. Documents prepared or obtained pursuant to the Department of Insurance's Conflict of Interest Policy. Documents include Department of Insurance Disclosure of Interest Forms, Statement of Economic Interest Forms, documents obtained or prepared as a part of conflict of interest investigations or other related General Counsel investigations and activities, documents concerning the review of conflict of interest issues, and other materials relating to Department of Insurance's Conflict of Interest Policy.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after creation and/or filing of the documents.

ITEM 2257. SPECIAL PROJECT FILE. Working papers and documents used in the research and preparation of special projects.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 2259. LITIGATION AND DOCKET FILE. Records and materials in paper and electronic formats concerning hearings of the department which may result in litigation. File includes active and inactive court cases. File also includes log of all cases.

DISPOSITION INSTRUCTIONS: Transfer active records to closed court case file in office when case is closed. Transfer log and closed inactive court case records to the State Records Center after 3 years and when reference value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer electronic records to the State Records Center after the end of 3 years for immediate transfer to the custody of the Archives. Contact Analyst at the State Records Center prior to transfer of official electronic copies of records.

ITEM 23244. GENERAL (JOURNAL) FILE. Journals used to record general correspondence, complaints, and questions with companies, citizens, inter-departmental and intra-departmental agencies concerning all legal aspects of the insurance law and its interpretation.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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ITEM 23246. ATTORNEY GENERAL'S OPINIONS FILE. Reference copies of printed and loose-leaf opinions which are primarily related to insurance issues.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

ITEM 23247. COURT CASE JOURNAL FILE. Journals used to record court cases.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 41780. GENERAL CORRESPONDENCE FILE. Official copies of active and inactive general correspondence, complaints, and questions with companies, citizens, inter-departmental and intra-departmental agencies concerning legal aspects of the insurance law and its interpretation.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

ITEM 41781. GENERAL COUNSEL OPINION BOOKS FILE. Reference copies of opinions for the Department of Insurance rendered by the General Counsel.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 41783. LEGAL CORRESPONDENCE FILE. Correspondence concerning legal matters involving the Department of Insurance. (Comply with applicable provisions of G.S. 132-1.1 regarding confidentiality of legal advice records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.