

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

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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.

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**

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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, Chief Records Officer  
Department of Insurance



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

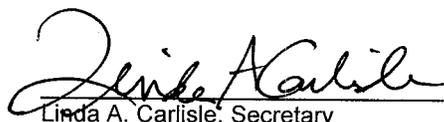


David Brook, Director  
Division of Historical Resources

APPROVED



Wayne Goodwin, Commissioner  
Department of Insurance



Linda A. Carlisle, Secretary  
Department of Cultural Resources

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**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 INSURANCE 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.

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**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 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.

**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.

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**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.

**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 SHIPTalk (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.

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**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