

DEPARTMENT OF INSURANCE  
TECHNICAL SERVICES GROUP  
PROPERTY AND CASUALTY DIVISION

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

**PROPERTY AND CASUALTY DIVISION**

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

**PROPERTY AND CASUALTY DIVISION**

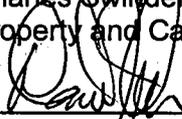
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

**APPROVAL RECOMMENDED**

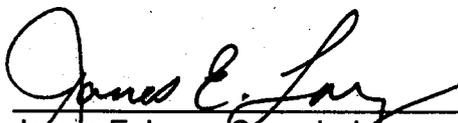
  
Sylvia East, Chief Records Officer  
Department of Insurance

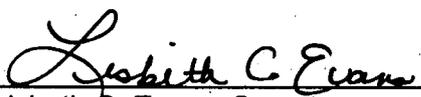
  
Barbara Morales Burke, Senior Deputy  
Technical Services Group

  
Charles Swindell, Deputy Commissioner  
Property and Casualty Division

  
David J. Olson, Director  
Division of Historical Resources

**APPROVED**

  
James E. Long, Commissioner  
Department of Insurance

  
Lisbeth C. Evans, Secretary  
Department of Cultural Resources

October 15, 2001

LLBH

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ABOUT RECORDS RETENTION AND DISPOSITION SCHEDULES  
IN NORTH CAROLINA STATE GOVERNMENT

Records may be destroyed *only* on the basis of both the program records schedule developed for your office and the *General Schedule for State Agency Records*. The consistent and routine implementation of the disposition instructions listed in these schedules provides the proper and legal foundation for the disposition of public records through destruction or transfer to the State Records Center. Your program records disposition schedule lists those program-specific records maintained in your office as reported to the Division of Historical Resources. It lists only those records that are unique to your office, whether they are to be destroyed in your office or transferred to the State Records Center. The *General Schedule* addresses records commonly found in agencies throughout state government, provides uniform descriptions and disposition instructions, and indicates minimum retention periods. Every schedule provides a brief description of each records group (following the item identification number) and instructions for their authorized disposition (following the words "DISPOSITION INSTRUCTIONS").

Authority for these disposition instructions is contained in Chapters 121 and 132 of the General Statutes of North Carolina. Compliance with the disposition instructions listed will help ensure conformity with these laws. Compliance will also help assure that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section 500. Errors and omissions do not invalidate these schedules or render them obsolete. All provisions of these schedules remain in effect until they are officially superseded.

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Government Records Branch whenever corrections, additions, or deletions in program records schedules should be made. Government Records Branch personnel will then amend that schedule in order to ensure that it remains complete and accurate.

The official published version of the *General Schedule* is available through the Government Records Branch's site on the World Wide Web (www), currently located at the following address:  
<http://www.ah.dcr.state.nc.us/sections/archives/rec/> (Please note that this address is subject to change over time.)

The Government Records Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing program schedules; supply and delivery of boxes, tape and labels for records listed on program schedules as scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. A fee will be charged for supplies, but not for services.

For questions, please contact  
Laura L. B. Hensey, Records Management Analyst  
[laura.hensey@ncmail.net](mailto:laura.hensey@ncmail.net)

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215 N. Blount St.  
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**NC Division of Historical Resources**  
  
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**ELECTRONIC MAIL AS A PUBLIC RECORD**  
*Guidelines for Its Retention, Disposition, and Destruction*

The Division of Historical Resources assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records---such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues---e-mail has administrative, legal, reference, and/or archival values. The content of electronic mail is a public record (according to G.S. 121-2 (8) and 132.1) and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices which use e-mail should normally retain or destroy e-mail by following the provisions of either their own program records retention and disposition schedule or the *General Schedule for State Agency Records*. Taken together, these two schedules will guide the filing of e-mail (whether in paper or electronic format) within existing records series, and the handling of it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail also possesses a dual identity. E-mail is also used to transmit and receive messages which may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value which ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, i.e. e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example through microfilming of paper copies), but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to insure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at ITS (Information Technology Services), at their own agency computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to insure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

Office administrators, department or unit heads, and all other state employees who use e-mail should regularly and consistently retain or delete e-mail in accord with its own records series and disposition instructions, the *General Schedule for State Agency Records*, and other instructions, provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

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**PUBLIC RECORDS WITH SHORT-TERM VALUE**  
*Guidelines for Their Retention and Disposition*

According to North Carolina General Statutes 121 and 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with an approved program records retention and disposition schedule and the *General Schedule for State Agency Records*, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- Facsimile cover sheets containing only transmittal ("to" and "from") information, or information that does not add significance to the transmitted material.
- Routing slips or other records that transmit attachments.
- Reservations and confirmations.
- Personal messages (including electronic mail) not related to official business.
- Preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records.
- Documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business.
- Records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

This guideline is not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. This guideline is intended to complement the use of both an approved program records retention and disposition schedule for the creating agency or unit, and the *General Schedule for State Agency Records*, not replace or supersede either. Should a creating agency or unit lack an approved program records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail), which are not so authorized by the *General Schedule*. Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a program records schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific retention and disposition schedules and applicable guidelines for their office, the *General Schedule for State Agency Records*, as well as the public records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

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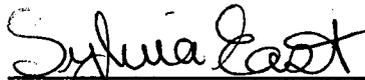
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Raleigh, NC 27699-4615  
**Fax:** 919.715.3627

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

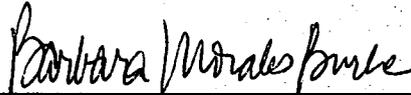
DEPARTMENT OF INSURANCE  
TECHNICAL SERVICES GROUP  
PROPERTY AND CASUALTY DIVISION

Amend the records retention and disposition schedule approved October 15, 2001 by amending the Items 2276, 2277, 2280, 2281, 2283, 2284, 2285, 2286, 2287, 3619, 11760, 11764, 11772, 11773, 11778, and 11781 as shown on substitute pages dated June 2, 2003.

APPROVAL RECOMMENDED



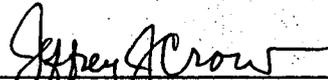
Sylvia East, Chief Records Officer  
Department of Insurance



Barbara Morales Burke, Senior Deputy  
Commissioner  
Technical Services Group

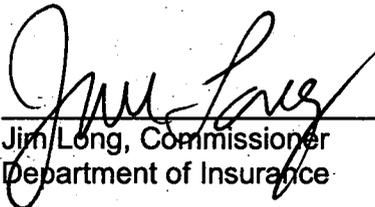


Charles Swindell, Deputy Commissioner  
Property and Casualty Division

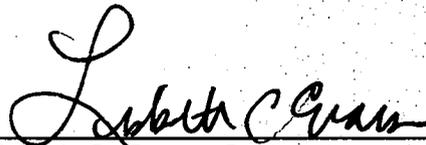


Dr. Jeffrey Crow, Deputy Secretary  
Office of Archives and History

APPROVED



Jim Long, Commissioner  
Department of Insurance



Lisbeth C. Evans, Secretary  
Department of Cultural Resources

June 2, 2003

LRM

**DEPARTMENT OF INSURANCE  
TECHNICAL SERVICES GROUP  
PROPERTY AND CASUALTY DIVISION**

**ITEM 2275. FORMER STATUTORY BUREAUS (REFERENCE) FILE.**

Records concerning the North Carolina Rate Bureau and North Carolina Reinsurance Facility. File includes correspondence, statistics, forms, rules, and schedules of rates of former statutory bureaus. (Bureau functions were transferred to licensed bureaus and joint underwriting associations in 1977.)

DISPOSITION INSTRUCTIONS: Records dated after 1977 are scheduled as the Statutory Bureaus File (Item 3619). Transfer records currently held in the State Records Center to the custody of the Archives 5 years from date received.

**ITEM 2276. LICENSED BUREAUS FILE.**

Records in paper and electronic formats concerning licensed bureaus, advisory organizations, and joint underwriting associations. File includes correspondence, forms, rules, and schedules of rates which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 2277. BUREAUS SUPERSEDED FORMS AND RATES FILE.**

Records concerning licensed insurance bureaus in North Carolina. File includes superseded forms, rules, and schedules of rates for all bureaus which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 2279. BUREAU LOSS EXPERIENCES FILE.**

Records concerning loss experiences of bureaus and statistical agencies regarding various coverages for companies in North Carolina. File includes statistical records used by the department.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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**ITEM 2280. PROPERTY AND CASUALTY COMPANIES FILE.**

Records concerning the forms, rules, and schedules of rates of independent companies that are now classified as inactive or have been superseded. File includes forms, rules, and schedules of rates which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 2281. WITHDRAWN NORTH CAROLINA INSURANCE COMPANIES FILE.**

Schedules of rates, rules, and forms for insurance companies no longer licensed in North Carolina. File includes forms, rules, and schedules of rates which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Destroy records dated prior to December 1, 1999 after 8 years, or when transferred to an electronic database, whichever occurs sooner. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 2282. NON-ADMITTED CARRIERS QUARTERLY BILLING (FORM E) FILE.**

Tax returns (Form E's) for insurance placed with non-admitted carriers. File also includes reference copies of checks. Payment status is entered into the Surplus Lines Submissions System (Electronic) File (Item 45869) and updated routinely.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**ITEM 2283. CONSENT TO RATE - AUTOMOBILE PHYSICAL DAMAGE FILE.**

Insurance company applications submitted for approval to the Commissioner of Insurance for consent to rate private passenger automobile physical damage. File includes applications which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.)

DISPOSITION INSTRUCTIONS: Destroy in office paper records dated prior to December 1, 1999 after 1 year. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

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**ITEM 2284. CONSENT TO RATE - OTHER COVERAGES FILE.**

Insurance company applications submitted to the Commissioner of Insurance for coverages (other than private passenger automobile physical damage) that have rates in excess of those promulgated by a rating bureau. File also includes written consent of the insured, company charges, and other related records which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Destroy in office paper records dated prior to December 1, 1999 after 1 year. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 2285. MANUSCRIPT OR INDIVIDUAL RISK FILINGS.**

Official copies of manuscript or Individual Risk Filings submitted by agencies and companies for which there are no rates or forms on file with the Commissioner of Insurance which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Destroy in office paper records dated prior to December 1, 1999 after 1 year. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 2286. BEACH PLAN FILE.**

Records concerning the North Carolina Insurance Underwriting Association which, under provisions of G.S. 58-45, provides information regarding essential property and crime insurance to applicants in beach areas who are unable to purchase coverage through licensed insurers. File includes correspondence, bulletins, reports, and other related records which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

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**ITEM 2287. FAIR ACCESS TO INSURANCE REQUIREMENTS (FAIR PLAN) FILE.**

Records concerning the North Carolina Joint Underwriting Association which, under provisions of G.S. 58-46, provides information regarding essential and crime insurance to applicants in areas not included by the North Carolina Insurance Underwriting Association (Beach Plan) and who are unable to purchase coverage through licensed insurers. File includes correspondence, bulletins, reports, and other related records which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 3619. STATUTORY BUREAUS FILE.**

Records concerning the North Carolina Rate Bureau and North Carolina Reinsurance Facility and specific coverages of bureau member companies within North Carolina. File includes correspondence, statistics, forms, rules, and schedules of rates of statutory bureaus. File also includes rate filings required by G.S. 58-36-15 and 58-36-65 (Private Passenger Auto Rate filings, Workers' Compensation Rate filings, Periodic Homeowners Rate filings, Periodic Mobile Home Rate filings, Periodic Dwelling Fire Rate filings, Periodic Private Passenger Facility Auto Rate filings, Periodic Commercial Facility Auto Rate filings) which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer statutorily required rate filings to the State Records Center after 2 years. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Transfer records currently held in the State Records Center to the custody of the Archives 5 years from date received.

**ITEM 11760. ACTIVE COMPANIES FILE.**

Records concerning property and casualty coverages by licensed independent filing companies. File includes forms, rules, schedules of rates, and correspondence which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center immediately. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 11762. CARD INDEX OF LICENSED COMPANIES FILE.**

Card index listing names, addresses, and company groups of property and casualty companies licensed in North Carolina.

DISPOSITION INSTRUCTIONS: Destroy in office when company license is terminated or

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**ITEM 11763. APPLICATIONS FOR COMPANY LICENSES FILE.**

License applications received from the Financial Compliance Section for property and casualty companies.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 11764. INSOLVENT COMPANIES FILE.**

Records concerning companies that have been placed in liquidation and are no longer licensed.

File includes correspondence, forms, schedules of rates, and other related records which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Destroy in office paper records dated prior to December 1, 1999 after 1 year. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 11766. SPECIAL PROJECTS FILE.**

Records concerning special projects conducted by the division. File includes reports of special interest and unique areas of coverage.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 11767. NON-ADMITTED COMPANIES - TAX PAID NOTEBOOK FILE.**

Listings of taxes paid by licensed, non-admitted agents. Listings include date of payment, company name, code, gross premium amounts charged, gross premium amounts returned, net premium amounts received, amounts due, credit amounts, balance amounts, and listings of premium and tax amounts.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

**ITEM 11772. NORTH CAROLINA GUARANTY ASSOCIATIONS CORRESPONDENCE FILE.**

Correspondence concerning fund used to make up any deficit created by a bankruptcy or financial failure by a licensed insurance carrier. Records are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

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**ITEM 11773. NORTH CAROLINA RATE BUREAU DEVIATIONS FILE.**

Schedules of rates (deviations) filed by individual companies that deviate from the rates established by the North Carolina Rate Bureau. Records are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 11777. FLOOD INSURANCE FILE.**

Records concerning the National Flood Insurance Program that makes flood and mudslide coverage available for all types of buildings. File includes plans, correspondence, and other related records. (Plan is directed by the Federal Insurance Administration, U.S. Department of Housing and Urban Development, Washington, D.C.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 11778. MUNICIPAL AND COUNTY MUTUALS FILE.**

Records concerning municipal or county mutual insurance companies licensed in North Carolina and authorized to write fire and extended coverage insurance as unlimited assessment liability companies. File includes correspondence, schedules of rates, and other related records which are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.)

DISPOSITION INSTRUCTIONS: Transfer paper records dated before December 1, 1999 to the State Records Center when reference value ends. Records will be held for agency 5 additional years and then transferred to the custody of the Archives. Scan in office records dated after December 1, 1999. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

**ITEM 11781. RESPONSE TO REQUESTS (CLOSED) FILE.**

Records concerning schedules of rates, rules, forms, and/or responses requested by the division. File includes schedules of rates, rules, and response forms. (Records which have been held in suspense for 45 days with no response are closed, including records inadvertently submitted to this department but actually falling under the jurisdiction of the North Carolina Rate Bureau.) Records are scanned, saved onto the division's server, and routinely updated. (The location address of the scanned image is stored in an electronic database, an image storage and interactive form filing and tracking system maintained by the Information Systems Division.) Amended 6-2-03.

DISPOSITION INSTRUCTIONS: Scan records in office. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently.

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**ITEM 45869. SURPLUS LINES SUBMISSIONS SYSTEM (ELECTRONIC) FILE.**

Electronic records concerning submissions from surplus lines licensees. Electronic file includes Forms E-1 and F, and other related data. (File maintenance and backup procedures are conducted by the Company Services Group, Information Systems office.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, erase/destroy in office after completion of action and resolution of issues involved.