



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## Insurance, Department of. Agency Services.

Agency: Agency Services		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	82-772	<b>PUBLIC ADJUSTERS APPLICATION - ACTIVE</b> Applications for Public Adjusters examination which is given by the Department of Insurance (no fee); there is, a fee for the license; files arranged by license number.	TRANSFER to INACTIVE upon failure to renew license.
2	82-773	<b>PUBLIC ADJUSTERS APPLICATIONS - INACTIVE</b>	DESTROY two (2) years after non-renewal of the license and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
3	82-774	<b>CONSULTANT APPLICATIONS - ACTIVE</b> Applications for Consultant examination; fee involved; arranged by license number.	TRANSFER to INACTIVE UPON failure to renew license.
4	82-775	<b>CONSULTANT APPLICATIONS - INACTIVE</b> Retention based on HEA 1286.  [Record Series history note: this is no longer archival, but was when it was created in 1982. Original retention, not applicable to current records: DESTROY after five (5) years , and after sampling by the Archives Division, Archives and Records Administration.]	DESTROY four (4) years after non-renewal of the license and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
5	82-782	<b>AGENTS' LICENSE REPORT</b> This was formerly a green card file and now a computer print-out report containing the data formerly collected on the old "green cards". According to information supplied by the Department of Insurance, all previous paper records were destroyed in 1983.	DESTROY when all licenses have become INACTIVE.
6	82-783	<b>LOG SHEET</b> Daily record of money received. Includes name of licensee, company if applicable, agent I.D. number, check number & origin, whether for renewal, certification, new agent fee, non-resident licensee fee, public adjuster or consultant. Suggested and approved by the State Board of Accounts. Information is received by the Information Services Division of the Indiana Department of Administration. Retention based on IC 34-1-2-2(2), (1993 Edition), and consistent with GRACC-2(1) on the General Retention Schedule.	DESTROY five (5) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
7	82-784	<b>LETTER OF CERTIFICATION REQUESTS</b> Requests for certification of agents who are residents of Indiana but work for companies in other states. These requests are filed chronologically and are made by the agent, the state or the out-of-state company. There is no longer a fee requirement.	DESTROY six (6) months after completion of the certification request.
8	82-785	<b>INS 01 - EDIT AGENT TRANSACTIONS</b> "Daily Transaction Errors"; a printout of keyed transaction errors on each run.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
9	82-786	<b>INS 02 - PRINT AGENT TRANSACTION ERROR REPORT</b> "Daily Update Errors" and "Notification List"; a printout of keyed typing errors on each run, as well as a printout of all correct transactions keyed on that run by license number or I.D. number.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
10	82-787	<b>INS 03 - PRINT INPUT AGENT TRANSACTION REPORT</b> "Daily Transaction Register"; an alphabetical printout of all transactions keyed on a particular run.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
11	82-790	<b>INS 81 - PRINT AGENTS INVOICES</b> Monthly printout of agents to whom Department of Insurance is sending invoices for renewal payment of license fee. Pre-addressed invoices.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.

Approved by the Indiana Oversight Committee on Public Records

12	82-791	<b>INS 82 - PRINT AGENT CERTIFICATES</b> Monthly printout of agents receiving certificates of authority; computer preprints these certificates as well.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
13	82-792	<b>INS 83 - PRINT ACCOUNTS RECEIVABLE</b> Printout shows outstanding balance of everyone invoiced on a particular run.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
14	82-793	<b>INS 84 - PRINT RENEWAL LICENSES</b> Printout of agents whose license has been renewed; computer preprints the license.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
15	82-795	<b>INS 86 - PRINT ADJUSTMENT REPORT</b> Adjustments of Accounts Receivable Report.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
16	82-798	<b>COMPANY CORRESPONDENCE FILES</b> Consists of clearance letters from the company or the agent regarding cancellation of the agent's license in Indiana; arranged alphabetically by company. Retention based on IC 27-1-15.5-3, 1988 Ed.	DESTROY after five (5) years.
17	83-574	<b>RENEWAL BATCH CONTROL SLIP</b> Renewal notices are kept in batches of 100 for paid agent renewals; arranged chronologically as received and check number noted, and by batch control number; slip shows total dollar amount for that batch.	DESTROY three (3) years after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
18	98-36	<b>RETIRED AGENTS EXCEPTION FILE</b> An agent who has retired, or who has had an extension of their license because the agent is in the military or due to and extended serious illness or death of an immediate family member need not comply with continuing education requirements.	TRANSFER to the appropriate agent file when the exemption status ends.
19	98-38	<b>PRE-LICENSING COURSES</b> These are applications for the courses, for the directors and instructors, an outline of courses given, receipts for certificates of completion and miscellaneous correspondence.	TRANSFER to the RECORDS CENTER when the school or course is discontinued and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the Indiana Archives, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles after an additional five (5) years in the RECORDS CENTER. TOTAL RETENTION prior to Indiana Archives TRANSFER: Five (5) years after the school or course has been discontinued and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
20	98-39	<b>CONTINUING EDUCATION COURSES</b> Typical record contains the content outline of each course filed by the provider plus an application and the text material. These courses must be renewed annually. A provider must pay either a \$10.00 fee for each course or the provider can choose an annual cap of \$250.00	TRANSFER to the RECORDS CENTER after the course has been cancelled and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the Indiana Archives, for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles after an additional three (3) years in the RECORDS CENTER. TOTAL RETENTION prior to Indiana Archives TRANSFER: Three (3) years after the course is cancelled and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
21	98-40	<b>RECIPROCAL AGREEMENTS</b> Indiana and another state having continuing education requirements honor each other's requirements through a reciprocal agreement.	DESTROY when outdated or replaced.

22	99-25	<b>AGENT'S AND AGENCY APPLICATIONS</b> File contains original, first-time applications and supporting documents needed for the Department of Insurance to grant a license plus applications from inactive licensees wishing to be reinstated. Fees may be submitted with the application and an invoice will be generated for bank deposit/audit purposes. (SEE: Record Series Numbers (R.S. #s) 82-787 through 82-795). Arranged alphabetically by applicant's last name, or if multiple same names, then applicant's social security number. If an agent satisfies the requirements of IC 27-1-15.5-8, 1998 Edition, the agent can be licensed for their lifetime or until it is determined the agent is retired [Record Series Number (R.S.#) 98-036]. Partially confidential, [IC 4-1-8-1, et seq.; (1998 Edition)]. [Formerly Record Series Numbers (R.S. #s) 82-764, 82-767, and 98-033].	MICROFILM according to 60 IAC 2 on a monthly basis each month's licensees. DESTROY hard copy records after verification of microfilm for completeness and legibility. TRANSFER original (security) negative roll to the Indiana Archives. TRANSFER duplicate negative roll to the agency. DESTROY original (security) roll and duplicate negative roll seventy-five (75) years after the licensing year.
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