

Retention and Classification Report

Agency: Insurance Department (531)

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Records Officer: _____

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AGENCY: Insurance Department

SERIES: 81569

3

TITLE: Administrative or legal results of official actions

DATES: 1982-

ARRANGEMENT: Chronological.

DESCRIPTION:

These are the results of an administrative hearing or a trial against a company or an agent for violations of state law or regulations. These files include exhibits, results of case, and transcripts of hearings. Includes financial reports and actions taken on foreign company receiverships.

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, historical, and/or legal value(s). This retention is based on the records series' apparent research value and the recommendation of the department. Previous decision: 04/17/85: permanent/public.

AGENCY: Insurance Department

SERIES: 81569

TITLE: Administrative or legal results of official actions

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 29619

3

TITLE: Administrative rule records

DATES: 2016-

ARRANGEMENT: alphabetical

DESCRIPTION:

Information an agency relies upon when making a rule under Utah Code 63-45a-1 et seq. (2004), including copies of the proposed rule, change in the proposed rule, and the rule analysis

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Administrative rule records, GRS-1692.

AUTHORIZED: 07-07-2021

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need met and then transfer to State Records Center. Retain in State Records Center for 6 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office permanently and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, historical, and/or legal value(s).

AGENCY: Insurance Department

SERIES: 81570

3

TITLE: Administrative rules hearing files

DATES: 1982-

ARRANGEMENT: Chronological

DESCRIPTION:

These records document the preparatory work done in rule-making, the hearings held, and the results of the decisions made for or against adoption of the rule. Includes administrative rules, notice of hearings, minutes, testimony for and against, and consent decrees.

RETENTION:

Permanent. Retain for 1 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Administrative hearing records, GRS-1655.

AUTHORIZED: 11-06-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Archives and transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, historical, and/or legal value(s). These records are historically valuable. There is another factor in the retention which is UCA 63-46a-14, but the historical value outweighs this requirement which would only be 2 years. Previous decision: 4/17/85: COM retain on microfiche 10 years/public.

AGENCY: Insurance Department

SERIES: 81570

TITLE: Administrative rules hearing files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 15105

4

TITLE: Agent licensing education course applications

DATES: 1987-

ARRANGEMENT: Alphabetical by education provider's business name

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

Documents sent to the department by various institutions wishing to be licensed to conduct training for insurance personnel. Includes name and address of provider, course to be taught, course outline, and signature of person authorized to sign course completion form.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 7 years or until administrative need ends and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 15105

TITLE: Agent licensing education course applications

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 14967

4

TITLE: Annual medicare supplement report files

DATES: 1989-

ARRANGEMENT: Chronological, thereunder alphabetical by report name.

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

Policy reports that are required by the minimum standards rule established by UAC R590-146(1995). The reports are created by insurance companies and sent to the Insurance Department. The information documents premiums and loss ratios of every medicare supplement policy that each company writes in the state of Utah.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (1),(40) (i) (ii) (iii) (2008)

AGENCY: Insurance Department

SERIES: 677

3

TITLE: Annual reports

DATES: 1909-

ARRANGEMENT: Chronological.

DESCRIPTION:

This series contains reports of the Insurance Department activities from the previous year with information pertaining to agency activities, agency staff, licensing, compliance and enforcement, consumer services, rates, fraud, legislation, research, and fiscal and financial operations.

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

Microfiche master: For records beginning in 1977 through 1979. Retain in State Archives permanently with authority to weed.

Microfiche duplicate: For records beginning in 1977 through 1979. Retain in State Archives permanently with authority to weed.

AGENCY: Insurance Department

SERIES: 677

TITLE: Annual reports

(continued)

APPRAISAL:

These records have historical value(s).

Publications document agency history and functions. Publications have ongoing research value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2019.

AGENCY: Insurance Department

SERIES: 15108

4

TITLE: Authorization to appoint and remove agents records

DATES: 1982-

ARRANGEMENT: Alphabetical by agent name

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

Insurance Department authorized forms sent to the department by companies designating individuals within their respective companies who are authorized to appoint and remove agents from their agent licensing list, as established by UAC 590-101(1995). This information is collected as a department policy and gives the department an individual to contact within the company.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office until updated and then destroy.

APPRAISAL:

This disposition is based on the administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 27450

3

TITLE: Bail Bond Surety Oversight Board meeting minutes

DATES: 1998-

ARRANGEMENT: Chronological by meeting date.

DESCRIPTION:

These records document the meetings of the Bail Bond Surety Oversight Board. The Board is composed of seven appointed members and makes recommendations for rules regulating bail bonds to the Insurance Commissioner. The board screens bail bond surety companies and individuals procuring bail bond company licenses. The board also investigates unprofessional conduct. Information includes agenda, meeting minutes, reports, attachments, audio tapes, applications, and reports including enforcement and investigation action reports.

RETENTION:

Permanent. Retain for 8 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Open meeting minutes & supplementary materials, GRS-1709.

AUTHORIZED: 10-28-2020

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need met and then transfer to State Records Center. Retain in State Records Center for 8 years and then transfer to State Archives with authority to weed.

Audio cassettes: Retain in Office until administrative need met and then transfer to State Records Center. Retain in State Records Center for 8 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative need ends and then transfer to State Archives with authority to weed.

Microfiche master: Retain in State Archives permanently with

AGENCY: Insurance Department

SERIES: 27450

TITLE: Bail Bond Surety Oversight Board meeting minutes

(continued)

authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have administrative, historical, and/or legal value(s).

These records are used administratively and have legal value as they are required and defined by UCA 31-35-201 and UAC R590. The records have historical value as they document the activities of the board and its decisions and accomplishments. They have legal and historical value in areas of administrative, enforcement, and licensing actions.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-304(32)

AGENCY: Insurance Department

SERIES: 21033

3

TITLE: Bank statements

DATES: 1980-

ARRANGEMENT: Chronological.

DESCRIPTION:

These files document department revenue. In addition to the bank statements, they contain deposit slips, copies of returned checks, and refund requests. FINET reconciliation reports are also included.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper copy: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2017.

AGENCY: Insurance Department

SERIES: 81666

3

TITLE: Budget requests

DATES: 1987-

ARRANGEMENT: none

DESCRIPTION:

This series contains financial information, budget requests, salary schedules, employee benefits, travel expenses, payroll information, appropriation requests, correspondence, organization charts, memorandum, and a variety of other records that probably were used to compile the annual reports.

RETENTION:

Permanent. Retain for 3 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
This retention is based on Utah General Schedule 5 Item 2 (year?).

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 81667

3

TITLE: Budget workpapers

DATES: 1987-

ARRANGEMENT: none

DESCRIPTION:

RETENTION:

Retain for 1 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 5 Item 4.

AGENCY: Insurance Department

SERIES: 84497

3

TITLE: Company applications

DATES: [ca. 1896]-

ARRANGEMENT: none

DESCRIPTION:

This record includes insurance companies names, and location of insurance company applying for company license.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1985

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in Office for 1 year and then destroy.

Microfiche master: Retain in Office for 10 years and then destroy.

Paper: Retain in State Records Center for 10 years and then destroy.

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 14971

3

TITLE: Compliance and enforcement administrative actions without hearings

DATES: 1987-

ARRANGEMENT: Numerical by docket number

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

Investigative case files used to determine if action is necessary against an insurance company, organization, or individual who may have violated a state insurance law or regulation. Once the administrative action has been determined, there is no need for a hearing. The information is also used to verify that an insurance company, agent, or organization has never been proven guilty of abusing the insurance law or regulation. Information includes letters, summaries of telephone calls, investigative notes, investigators impressions/notes, and memoranda.

RETENTION:

Permanent. Retain for 10 year(s) after final action

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after administrative action has been completed and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). This disposition is based on the historical investigation procedures used by the department.

AGENCY: Insurance Department

SERIES: 14971

TITLE: Compliance and enforcement administrative actions without hearings

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(8)(2008) Investigative procedures

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302(2008) Information on individuals

Public. UCA 63G-2-301(2008) Pre-Hearing information

AGENCY: Insurance Department

SERIES: 81571

3

TITLE: Consumer complaint files

DATES: 1970-

ARRANGEMENT: alphabetical by company name

DESCRIPTION:

These records are complaints received at random from the public concerning problems and unfair treatment that the consumer has encountered when dealing with an insurance agency in Utah. At times, these complaints serve as a flag for examiners to look for trouble in this area. They may also be used to instigate a hearing to revoke the companies'/agents' right to sell insurance in Utah or start litigation criminal activities. These files include letters, memorandums, and written records of telephone conversations.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).
This retention is based on UCA 76-1-302 and the recommendations of the department. Previous decision: 04/26/86: 10 years/private.

AGENCY: Insurance Department

SERIES: 81571

TITLE: Consumer complaint files

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Insurance Department

SERIES: 17132

3

TITLE: Consumer complaint report from computer system

DATES: 1989-

ARRANGEMENT: Numerical

DESCRIPTION:

These reports are generated from the Insurance Department's computer system on which records of all complaints received by the department regarding the insurance industry in the state are maintained. Each record contains the date it was opened, the date the case was closed, the amount of damages/monies collected if appropriate, record modification dates, complainant's name, address, phone number, type of complaint, whom against, coverage, reason for complaint, final disposition, source, status, form letters, justification, number of calls, interviews, and outgoing letters.

RETENTION:

Retain for 1 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Insurance Department

SERIES: 17132

TITLE: Consumer complaint report from computer system

(continued)

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(10)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 2194

3

TITLE: Daily receipts registers

DATES: 1949-

ARRANGEMENT: Alphanumerical

DESCRIPTION:

Registers logging the daily receipt of documents or monies from insurance companies. Documents logged include rate revision schedules, policy manuals etc. The documents were filed separately. Funds show daily receipts of monies for agents' or other miscellaneous licenses and other miscellaneous fees (eg. preparation of forms).

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in State Records Center for 7 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

Records in this series have temporary administrative and fiscal value and may be destroyed according to the approved retention schedule.

AGENCY: Insurance Department

SERIES: 2194

TITLE: Daily receipts registers

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2019.

AGENCY: Insurance Department

SERIES: 21034

3

TITLE: Department revenue reports

DATES: 1980-

ARRANGEMENT: Numerical by receipt number

DESCRIPTION:

These files contain the Insurance Department's revenue receipts for all agency services. The information includes cash register reports, the department's copies of receipt books, monthly and annual register reports, copies of returned checks, and refund or reimbursement requests.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

Paper copy: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

AGENCY: Insurance Department

SERIES: 21034

TITLE: Department revenue reports

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 17143

3

TITLE: Docket pleadings

DATES: 1981-

ARRANGEMENT: Numerical by docket number

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These are records of actions taken by the department against licensees and others for violations of insurance laws and rules. The action can include monetary forfeitures, and revocation, suspension or limitation of license. The records contain the name of company or individual against whom the action is taken, reference number, examiner number, text of proceedings, date record was created and closed, and codes violated.

RETENTION:

Permanent. Retain for 10 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 10 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have historical value(s).

This disposition is based on the historical information contained in these records. The information documents violations which could effect the financial stability of the company or could protect individuals from insurance fraud.

AGENCY: Insurance Department

SERIES: 17143

TITLE: Docket pleadings

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 20557

3

TITLE: Domestic companies form and rate filings

DATES: 1975-

ARRANGEMENT: Alphabetical by company name.

ANNUAL ACCUMULATION: 4.00 cubic feet.

DESCRIPTION:

These records contain insurance forms created by insurance companies whose corporate offices are located in the state of Utah. These forms and rate filings are the actual documents used by insurance companies when enrolling or changing a company's or individual's insurance plan. Information includes policy changes, insurance rate changes, changes in insurance forms, new forms, and forms being submitted for approval.

RETENTION:

Retain for 50 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/2011

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 49 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the agency's need to maintain these records because of the insurance companies' incorporation in the state of Utah.

AGENCY: Insurance Department

SERIES: 20557

TITLE: Domestic companies form and rate filings

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-305 (1),(40)(i)(ii)(iii)(2008) and UCA 31A-30-106 (4)(2008)

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 10/2019.

AGENCY: Insurance Department

SERIES: 81650

3

TITLE: Domestic insurance companies annual financial statements

DATES: 1950-

ARRANGEMENT: Alphabetical by company name.

DESCRIPTION:

These are individual files of all domestic insurance companies (companies whose corporate headquarters reside in the state). They provide reference information to the staff for analysis of the financial condition of these companies and for compliance investigations. These files include balance sheets, company exhibits, statistical fiscal data, and historical data regarding profit and loss.

RETENTION:

Retain for 50 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 05/2011

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 49 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Previous decision: 04/26/86: 10 years and microfilm/public.

AGENCY: Insurance Department

SERIES: 81650

TITLE: Domestic insurance companies annual financial statements

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 23498

3

TITLE: Domestic insurance companies financial information files

DATES: 1950-

ARRANGEMENT: Alphabetical by company name.

ANNUAL ACCUMULATION: 4.00 cubic feet.

DESCRIPTION:

This record series consists of information collected from and about all domestic insurance companies (companies which were incorporated within the state of Utah) by the Financial Analysis Unit. These records are compiled under the authority of UCA 31A-2-201 through 205(2000). The files include, but are not limited to: management discussion and analysis notes; quarterly statements; National Association of Insurance Companies (NAIC) profiles; risk based capital reports; desk audit papers; quarterly and annual analysis files; reports to stockholders; and miscellaneous analyst workpapers.

RETENTION:

Permanent. Retain for 4 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 05/2001

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

Paper copy: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative, historical, and/or legal value(s). This retention is based on the agency's need to maintain these records because of the insurance companies' incorporation in the state of Utah. The records have a secondary historical value to

AGENCY: Insurance Department

SERIES: 23498

TITLE: Domestic insurance companies financial information files

(continued)

researchers interested in business activities in Utah.

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(4)(2008)

AGENCY: Insurance Department

SERIES: 15099

4

TITLE: Domestic insurance company certified public account reports

DATES: 1990-

ARRANGEMENT: Alphabetical by company name

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

Reports required by UCA 31a-4-113.5(2) (1994) for Utah insurance companies to file annual financial statements which contain information concerning the companies financial condition. These reports are normally filed when the company renews its annual Certificate of Authority, required by UCA 31A-5-212 (1994), which is also filed annually. The financial reports are filed by the company's accountant.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 15099

TITLE: Domestic insurance company certified public account reports

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 15100

4

TITLE: Domestic insurance company legal files

DATES: 1954-

ARRANGEMENT: Alphabetical by insurance company name.

ANNUAL ACCUMULATION: 4.00 cubic feet.

DESCRIPTION:

Files which contain the original application to do business in the state (certificate of authority), bylaws, articles of incorporation, mergers, form A (an acquisition of control of insurer) and form B (changes of control and other changes pertaining to holding companies), filings and other legal documents pertaining to the licensing of an insurance company. The information documents Insurance companies compliance to Insurance Department regulations and state laws.

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need ends or until microfilmed and then transfer to State Archives with authority to weed.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

AGENCY: Insurance Department

SERIES: 15100

TITLE: Domestic insurance company legal files

(continued)

APPRAISAL:

These records have administrative, and/or historical value(s).

This disposition is based on the historical legal information
contained in these files.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Exempt. UCA 31A-16-109(2008)

AGENCY: Insurance Department

SERIES: 14976

3

TITLE: Domestic market conduct examination reports

DATES: 1989-

ARRANGEMENT: Alphabetical by company, agent, or organization name

ANNUAL ACCUMULATION: 4.00 cubic feet.

DESCRIPTION:

Reports prepared by the Market Conduct Examiner upon completion of an audit or examination of insurance company, agent, or organization. Information includes financial data and information pertaining to code requirements and licensure.

RETENTION:

Permanent. Retain for 6 year(s) after final action

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after company, or organization is closed and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). This disposition is based on the evidentiary value of these records and the agency's interest in permanently retaining records of Utah based insurance companies.

AGENCY: Insurance Department

SERIES: 14976

TITLE: Domestic market conduct examination reports

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 5508

3

TITLE: Examination billing account records

DATES: 1973-

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These files contain the billing records for examinations of domestic insurance companies. The examinations are conducted by the Insurance Department, and the department bills the insurance companies for the cost of each of these examinations. The files contain the invoice for the examination and the examination reports. The reports mostly consist of financial information about the individual companies.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/1998

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 5508

TITLE: Examination billing account records

(continued)

PRIMARY DESIGNATION:

Private UCA 63G-2-302 (2) (b) (2008)

AGENCY: Insurance Department

SERIES: 17144

3

TITLE: Examiner billing history files

DATES: 1999-

ARRANGEMENT: Numerical

DESCRIPTION:

These records are used to document the time spent by the field examiners on giving examinations and the related billing for their services. They contain the date of the examination, the examiner's number, the company number, and the description of time spent. This information is also retained on the Insurance Regulatory Application System (IRAS).

RETENTION:

Retain for 8 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 12/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after examination date and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Computer data files: Retain in Office for 8 years and then delete.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the financial information concerning the amounts that insurance companies are billed for examinations.

AGENCY: Insurance Department

SERIES: 17144

TITLE: Examiner billing history files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 14141

3

TITLE: Excess and surplus lines insurance files

DATES: 1990-

ARRANGEMENT: Alphabetical by insurance company name

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

Annual statements collected from insurance companies through out the United States concerning the financial status of insurance companies conducting business in Utah. They include statements from insurance companies conducting business in the state of Utah Includes financial data on insurance companies, applications material, correspondence, documents pertaining to surplus liens companies, and taxation information.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 14141

TITLE: Excess and surplus lines insurance files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 81662

3

TITLE: Executive correspondence

DATES: 1969-

ARRANGEMENT: Chronological

DESCRIPTION:

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements.

RETENTION:

Permanent. Retain for 5 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State agency executive correspondence, GRS-1758.

AUTHORIZED: 07-12-2018

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years after separation and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until separated and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 81662

TITLE: Executive correspondence

(continued)

SECONDARY DESIGNATION(S):

Protected.

Correspondence which could be detrimental to individual involved if the information were released

AGENCY: Insurance Department

SERIES: 81688

3

TITLE: FINET payment vouchers/price agreements

DATES: 1989-

ARRANGEMENT: none

DESCRIPTION:

These files contain all documents recording payments made by the Insurance Department. They include invoices, reimbursement requests, and all FINET documentation.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This retention is based on Utah General Schedule 6 Item 1.

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 22006

3

TITLE: Fiduciary audit files

DATES: 1981-

ARRANGEMENT: Alphabetical by name of agency

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records are gathered and reviewed to determine if the licensee is in compliance with UCA 31A-23-211, 313, and 403(8) (1999), and UAC R590-136(1999). The files include letters, copies of account statements and checks, summaries of phone calls, audit work papers, notes, memoranda, balance sheets, and reports.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 11/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the use of these files in audits of licensees' financial records to ensure their compliance with UCA 31A-23-211, 313, and 403(8)(1999), and UAC R590-136(1999).

AGENCY: Insurance Department

SERIES: 22006

TITLE: Fiduciary audit files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(2)(a)

AGENCY: Insurance Department

SERIES: 81671

3

TITLE: Fixed asset inventory list

DATES: ca. 1985-

ARRANGEMENT: none

DESCRIPTION:

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after last inventory and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 3 Item 10a.

AGENCY: Insurance Department

SERIES: 81652

3

TITLE: Foreign and alien insurance companies' annual financial statements

DATES: 1984-

ARRANGEMENT: alphabetical by company name

DESCRIPTION:

These are individual files of all foreign-based insurance companies (companies whose corporate headquarters are outside the state). They provide reference information to the staff for analysis of the financial condition of these companies and for compliance investigations. These files include balance sheets, company exhibits, statistical fiscal data, and historical data regarding profit and loss.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 11/1998

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to Tax Commission for review then destroy.

APPRAISAL:

These records have administrative value(s).

This retention is based on the administrative needs as negotiated with the staff of the department. Previous decisions: 04/26/86: 5 years/public, and 6/1/87.

AGENCY: Insurance Department

SERIES: 81652

TITLE: Foreign and alien insurance companies' annual financial statements

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 11246

3

TITLE: Foreign companies form and rate filings

DATES: 1975-

ARRANGEMENT: Alphabetical by company name.

DESCRIPTION:

These are insurance forms created by insurance companies whose corporate office is not located in the state of Utah. These forms and rate filings are the actual documents used by the insurance company when enrolling or changing a company's or individual's insurance plan. Information includes policy changes, insurance rate changes, changes in insurance forms, new forms, and forms being submitted for approval.

RETENTION:

Retain for 5 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1997

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Insurance Department

SERIES: 11246

TITLE: Foreign companies form and rate filings

(continued)

PRIMARY DESIGNATION:

Public UCA 63G-2-301

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-305 (1),(40) (i) (ii) (iii)(2008) and UCA 31A-30-106 (4)(2008)

AGENCY: Insurance Department

SERIES: 5516

3

TITLE: Foreign companies' legal records

DATES: 1971-

ARRANGEMENT: Chronological, thereunder, alphabetical by company name

DESCRIPTION:

These are insurer files which contain the original applications from companies doing business in Utah, but have their corporate office located in another state. Information includes Certificate of Authority, by-laws, articles of incorporation, mergers, form A (company owner change), and form B filings (change of control, exempt status, and miscellaneous changes), and other legal documents pertaining to the licensing of an insurance company.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 12/1997

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 5516

TITLE: Foreign companies' legal records

(continued)

PRIMARY DESIGNATION:

Exempt UCA 31A-16-109 (2008)

AGENCY: Insurance Department

SERIES: 15035

3

TITLE: Foreign insurance company certified public accountant reports

DATES: 1990-

ARRANGEMENT: Alphabetical by company name

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

These reports are submitted in accordance with UCA 31A-4-113(2)(1999), which requires an insurance company's annual statement be prepared in accordance with the Annual Statement Instructions and the Accounting Practices and Procedures Manual that is published by the National Association of Insurance Commissioners (NAIC). The NAIC Annual Statement Instructions require "All insurers shall have an annual audit by an independent certified public accountant and shall file an audited financial report as a supplement to the annual statement on or before June 1 for the year ended December 31 immediately preceding". The financial reports are filed by an independent certified public accountant in accordance with the instructions.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Insurance Department

SERIES: 15035

TITLE: Foreign insurance company certified public accountant reports

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 81653

3

TITLE: Foreign insurance company examination reports files

DATES: 1983-

ARRANGEMENT: alphabetical by company name, thereunder chronological

DESCRIPTION:

These are reports sent to the department from other states concerning the fiscal conditions of foreign insurance companies. They are used as reference material for the staff when questions arise about compliance with federal and state laws, company operations, or insurance regulations. These files include work papers, final audit reports, corporate financial data, correspondence, with company.

RETENTION:

Retain for 1 year(s) after completion of publication or report

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until next examination report is received and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).
This retention is based on the administrative needs as negotiated with the staff of the department. Previous decision: 04/26/86: microfilm after 10 years and destroy original/public.

AGENCY: Insurance Department

SERIES: 81653

TITLE: Foreign insurance company examination reports files

(continued)

PRIMARY DESIGNATION:

Protected financial information

SECONDARY DESIGNATION(S):

Private

AGENCY: Insurance Department

SERIES: 26437

3

TITLE: Health benefit plan ratings

DATES: 2007-

ARRANGEMENT: Alphabetical by name of insurance company thereunder alphabetical by report name.

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

This series contains the insurance ratings and underwriting guidelines created by insurance companies who do business in the State of Utah. The ratings information is used by insurance companies and agents to rate individual and small employer health benefit plans. The agency requires the filing of this information to insure compliance with Utah statutes and rules. Information includes rating factors, actuarial documents, and rate pages.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/2007

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Compact disc: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Digital Versatile Disk - Rewritable: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

AGENCY: Insurance Department

SERIES: 26437

TITLE: Health benefit plan ratings

(continued)

APPRAISAL:

These records have administrative, and/or legal value(s).

These records have legal value as they must be created and maintained to meet requirements established by UCA 31A-30-106(4) and UAC R590-167-11(1)(a).

PRIMARY DESIGNATION:

Protected UCA 31A-30-106 (4)(d)(2008)

AGENCY: Insurance Department

SERIES: 26514

3

TITLE: Health insurance research records

DATES: 2001-

ARRANGEMENT: Chronological by date thereunder alphanumerical by name of record and company code

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These records contain completed surveys and other research data covering a broad range of topics related to the health insurance market which are used to evaluate health insurance companies and track insurance statistics in Utah. These records may contain insurance company codes, marketing information, health plans, statistical data on membership, policy counts, premiums, paid claims (losses), and the age and gender of commercially insured Utah residents. Collected information is used to generate reports, such as the comprehensive Health Insurance Market Report, for the Utah State Legislature, Governor's Office, Insurance Commission, and other related audiences; these annual reports are found in series 677.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/2013

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after reports created and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

Computer data files: Retain in Office for 12 years and then delete.

AGENCY: Insurance Department

SERIES: 26514

TITLE: Health insurance research records

(continued)

APPRAISAL:

These records have administrative value(s).

These records must be created and maintained to meet requirements established by Utah Code 31A-2-201.2.

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(2)

AGENCY: Insurance Department

SERIES: 3619

4

TITLE: Health maintenance organization financial statements

DATES: i 1975-

ARRANGEMENT: Chronological, thereunder alphabetical by health maintenance organization name
DESCRIPTION:

This is a file of health maintenance organizations' annual financial statements of companies doing business in Utah. All of these records will remain confidential until July 1, 1986 at which time they will become public data by legislative action. These documents include name of health maintenance organization, address, phone number, profit and loss statement, corporate history, corporate officers, and up-to-date activities of the company.

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 01/1986

FORMAT MANAGEMENT:

Paper: Retain in Office for 10 years and then microfilm and destroy provided microfilm has passed inspection.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in Office permanently.

APPRAISAL:

These records have administrative, and/or historical value(s). This disposition is based on both the primary administrative and secondary evidential needs of these records to document the operations of health maintenance organizations in Utah.

AGENCY: Insurance Department

SERIES: 3619

TITLE: Health maintenance organization financial statements

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 84495

3

TITLE: Hearing files

DATES: 1978-

ARRANGEMENT: non

DESCRIPTION:

These files include notices of hearings, hearing records, minutes, testimonies, and consent of decree. The hearings are administered under UAC R590-160.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1985

FORMAT MANAGEMENT:

Computer output microfiche master: Retain in Office for 1 year and then destroy.

Microfiche master: Retain in Office for 10 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This series has only administrative value since the information is duplicated in final reports.

AGENCY: Insurance Department

SERIES: 84495

TITLE: Hearing files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 17131

3

TITLE: Individual insurance agent master file

DATES: ca. 1985-

ARRANGEMENT: Numerical

DESCRIPTION:

These are records of all licensed insurance agents in the state of Utah. These records contain name, social security number, home and business address, birth date, license date, modified date, and codes pertinent to management of the agent. These records are mostly used to determine the status of an individual insurance agent.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Computer data files: Retain in Office until superseded and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 17133

3

TITLE: Individual insurance appointment master file

DATES: ca. 1985-

ARRANGEMENT: Numerical by record number

DESCRIPTION:

This file contains records showing the date an organization or individual was appointed to represent an insurance company. It contains date of appointment, date of cancellation, linking record numbers, date modified, and current status of appointment.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Computer data files: Retain in Office until superseded and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 81655

3

TITLE: Individual insurance appointment records

DATES: 1954-

ARRANGEMENT: Chronological by processing date.

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

These records are the formal notice to the department, confirming that an insurer has appointed an agent or agency to represent the insurer in the sale and placement of their insurance product. The records include the agent's or agency's name, Utah Insurance Department license number, effective date of appointment, and the agent's social security number, or agency's tax identification number.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 months after date of processing and then transfer to State Records Center. Retain in State Records Center for 33 months and then destroy.

APPRAISAL:

These records have administrative value(s).

After they are inactive, these records have administrative value only. They may also be used in an audit. Previous decisions:

6/1/87: retain 3 years after the records become inactive.

4-17-85: microfiche and retain 10 years.

AGENCY: Insurance Department

SERIES: 81655

TITLE: Individual insurance appointment records

(continued)

PRIMARY DESIGNATION:

Private

UCA 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 81656

3

TITLE: Individual insurance producer and insurance agency licensing records

DATES: 1984-

ARRANGEMENT: Chronological by processing date

ANNUAL ACCUMULATION: 25.00 cubic feet.

DESCRIPTION:

These records are used to obtain information regarding statutory requirements of character, legal, and qualifications to license individuals and organizations as insurance producers dealing with the general public. The records include initial and renewal applications for insurance licenses, letters of qualification for non-residents from their domicile state, financial records, examination results, records of disciplinary actions, continuing education information, and correspondence related to the licenses. Records of disciplinary actions are retained permanently in series 81569--Administrative or legal results of official actions.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 months and then transfer to State Records Center. Retain in State Records Center for 33 months and then destroy.

APPRAISAL:

These records have administrative value(s).

These records lose their value to the department once the agent's file is inactive. However, it is necessary to maintain it for the period above in case the agent decides to begin selling insurance again. Records are occasionally needed for disciplinary hearings,

AGENCY: Insurance Department

SERIES: 81656

TITLE: Individual insurance producer and insurance agency licensing records

(continued)

and are the principal audit record for receipt of license fees.

Previous decision: 4-17-85: 25 years.

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 17134

3

TITLE: Insurance agency master file

DATES: ca. 1985-

ARRANGEMENT: Numerical by agency number

DESCRIPTION:

These are records of agencies licensed to broker insurance policies offered by insurance companies that do not sell insurance directly to the public in Utah. These records contain name and home address, business address, license date, modified date, cancel date, status of the agency, comments section, codes, and authorized persons to act.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Computer data files: Retain in Office until superseded and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 5523

3

TITLE: Insurance agent termination of appointment records

DATES: 1980-

ARRANGEMENT: Alphabetical by insurance company name, thereunder chronological by processing date

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records are the formal notice to the department, confirming that an insurer has terminated the appointment of an agent or agency in the sale and placement of their insurance product. Information includes the reason given for termination of the agent or agency. The records include the agent's or agency's name, Utah Insurance Department license number, and the agent's social security number or agency's tax identification number. Records may also contain information of a negative nature regarding the reason for termination in those instances when termination is for cause.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 months after date of processing. and then transfer to State Records Center. Retain in State Records Center for 33 months and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the use of these records in the audit of fees collected by the Insurance Department for processing appointments.

AGENCY: Insurance Department

SERIES: 5523

TITLE: Insurance agent termination of appointment records

(continued)

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d)(2008)

AGENCY: Insurance Department

SERIES: 23119

3

TITLE: Insurance code

DATES: 1953-

ARRANGEMENT: Chronological

DESCRIPTION:

These publications contain six divisions: The Insurance Code, Other Utah Code Sections, Administrative Rules, Rule Attachments, Bulletins and an Index. The first division contains the entire Utah Insurance Code (Title 31A of the Utah Code). The second division contains selected sections from the Utah Code that relate to insurance as chosen by the Department of Insurance. These selected sections may not include complete chapters. The third division contains all the Administrative Rules of the Department of Insurance as of the effective date of the publication. The fourth section includes a reproduction of forms and tables relating to Administrative Rules as selected by the Insurance Department. The fifth division includes Bulletins of the Insurance Department. The last division is a topical index.

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).

This is a convenient compilation of laws, regulations, rules, etc., related to the duties and responsibilities of the department.

AGENCY: Insurance Department

SERIES: 23119

TITLE: Insurance code

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 15107

3

TITLE: Insurance companies appointment renewal lists

DATES: 1992-

ARRANGEMENT: Alphabetical by insurance company name

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records are computer printouts with instructions from the Insurance Department. They are sent, in odd numbered years, to licensed insurance companies in the state of Utah to renew or terminate the appointments of agents and agencies who were previously appointed by the companies. The records include the agent's or agency's name, Utah Insurance Department license number, and the agent's social security number, or the agency's tax identification number.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 months and then transfer to State Records Center. Retain in State Records Center for 33 months and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the use of these records in the audits of fees collected by the Insurance Department for processing appointments.

AGENCY: Insurance Department

SERIES: 15107

TITLE: Insurance companies appointment renewal lists

(continued)

PRIMARY DESIGNATION:

Private

UCA 63G-2-302(2)(d)

AGENCY: Insurance Department

SERIES: 81658

3

TITLE: Insurance company application and renewal files

DATES: 1984-

ARRANGEMENT: Alphanumerical by company name and number

DESCRIPTION:

These are individual files containing the original application to sell insurance in Utah and subsequent renewals of the right.

These files include biographies of corporate heads, corporate financial data, and corporate by-laws

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until file is inactive and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).

The company by-laws and biographies have historical value.

Previous decision: 04/17/85: COM at year's end, 10 years/public.

PRIMARY DESIGNATION:

Protected Financial information

AGENCY: Insurance Department

SERIES: 81658

TITLE: Insurance company application and renewal files

(continued)

SECONDARY DESIGNATION(S):

Private

AGENCY: Insurance Department

SERIES: 81659

3

TITLE: Insurance company correspondence

DATES: 1982-

ARRANGEMENT: Alphabetical by company name or subject

DESCRIPTION:

These are general correspondence files with companies and consumers concerning routine inquiries about rates, locations, and other insurance companies. Other correspondence is filed under specific records series. This is not correspondence relating to routine administrative matters. These files include incoming, outgoing letters, and memorandums.

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative value(s).

This retention is based on administrative needs as negotiated with the staff of the department. Previous decision: 04/26/86: 10 years/private.

AGENCY: Insurance Department

SERIES: 81659

TITLE: Insurance company correspondence

(continued)

PRIMARY DESIGNATION:

Protected Financial information

AGENCY: Insurance Department

SERIES: 3005

3

TITLE: Insurance company examinations

DATES: 1925-

ARRANGEMENT: Chronological by year; thereunder alphabetical by company name.

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

This series contains work papers which provide a detailed analysis of the fiscal stability of insurance companies. Information includes corporate financial reports, articles of incorporation, correspondence, detailed financial statements and audits, and draft examination reports.

RETENTION:

Retain for 100 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/2010

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 99 years and then destroy.

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s). These records are used administratively to audit insurance companies including corporate finances. The records have legal value as they are required by UCA 31A-16-108.

AGENCY: Insurance Department

SERIES: 3005

TITLE: Insurance company examinations

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(2)(a)(2008)

AGENCY: Insurance Department

SERIES: 17135

3

TITLE: Insurance company history master file

DATES: ca. 1985-

ARRANGEMENT: Chronological

DESCRIPTION:

This file documents the history of all inactive complaints for each licensee in the State of Utah. It contains history date, time, license number, type, and a description of the event.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Computer data files: Retain in Office until superseded and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 3621

4

TITLE: Insurance company legal case files

DATES: i 1980-

ARRANGEMENT: Alphanumerical

DESCRIPTION:

These are files of lawsuits that have been recorded against foreign and alien insurance companies. The information in these files includes licensee name, address, phone number, license number, subject name, address, phone number, history of claim, and reason filed.

RETENTION:

Permanent. Retain for 15 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 01/1986

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years and then transfer to State Records Center. Retain in State Records Center for 10 years and then microfilm and destroy provided microfilm has passed inspection.

Microfilm master: Retain in State Records Center permanently.

Microfilm duplicate: Retain in Office permanently.

APPRAISAL:

These records have administrative value(s).

This disposition is based on both the record's primary administrative and secondary evidential values.

AGENCY: Insurance Department

SERIES: 3621

TITLE: Insurance company legal case files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 17130

3

TITLE: Insurance company master report

DATES: ca. 1985-

ARRANGEMENT: None

DESCRIPTION:

This report is generated from the Insurance Department's computer master file which contains records of all companies licensed to sell insurance in the state. It contains name, home address, phone, date organized, date admitted, date modified, date cancelled, business address and phone number, complaint address, domicile state, company type, classification, license code, status, cancellation reason, file codes, minimum capital, appointments, complaints, year to date complaints, other mailing addresses, power of attorney, and persons who are authorized to appoint. The hard copy report is used as a reference tool.

RETENTION:

Retain for 1 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Insurance Department

SERIES: 17130

TITLE: Insurance company master report

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 17040

3

TITLE: Insurance provider regulatory database

DATES: ca. 1985-

ARRANGEMENT: None

DESCRIPTION:

This series is a database containing data on all licensed insurance agents, agencies, and companies doing business in Utah, along with reporting, inquiry, and some analysis capabilities. The agency maintains the database in order to track activity related to licensing of insurance providers. The information in the database is drawn from a number of sources, including several other record series. The information in the database includes data from the Debt revenue reports (series 21034), Daily receipt registers (series 2194), Individual insurance producer and insurance agency licensing records (series 81656), Consumer complaint files (series 81571), Insurance company application and renewal of certificate of authority (series 81658), Docket pleadings (series 17143), Individual insurer appointment records (series 81655), and Insurance agent termination of appointment records (series 5523).

RETENTION:

Retain for 10 year(s) after expiration of permit or license

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/2005

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 10 years after license becomes inactive and then delete.

AGENCY: Insurance Department

SERIES: 17040

TITLE: Insurance provider regulatory database

(continued)

APPRAISAL:

These records have administrative, and/or fiscal value(s).

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d) (2008)

AGENCY: Insurance Department

SERIES: 22002

3

TITLE: Insurance regulatory application system

DATES: 1996-

ARRANGEMENT: none

DESCRIPTION:

This system is a database of all licensed insurance agents, agencies, and companies doing business in Utah, along with reporting, inquiry, and some analysis capabilities. The data files found on this system are the company master file, the individual master file, the agency master file, the complaint master file, the appointment master file, the docket master file, the examiner billing history file and the fees and revenue collections master file. The Insurance Regulatory Application System (IRAS) replaced the Insurance Department regulatory computer system (series 17040) in 1996.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 11/1999

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 3 years after system is no longer used and then delete.

APPRAISAL:

These records have administrative, and/or fiscal value(s). This disposition is based on the use of the system and data in regulating the insurance industry in Utah and documenting fees and charges administered by the Insurance Department. The data files on the system are scheduled under other series numbers.

AGENCY: Insurance Department

SERIES: 22002

TITLE: Insurance regulatory application system

(continued)

PRIMARY DESIGNATION:

Private UCA 63G-2-302(2)(d)(2008)

AGENCY: Insurance Department

SERIES: 81673

3

TITLE: Inter-agency transactions

DATES: 1990-

ARRANGEMENT: none

DESCRIPTION:

These files contain all documents regarding transactions between the Insurance Department and other state agencies.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This retention is based on Utah General Schedule 6 Item 5.

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 30747

1

TITLE: Investigative case claims files

DATES: 1981

ARRANGEMENT: Numerical by investigative file number

DESCRIPTION:

These are claims files from insurance companies that are received as part of the investigative process. These belong to case files that do not result in docketed action.

RETENTION:

Retain for 1 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Computer data files: Retain in Office for 1 year and then delete.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Protected Investigative information Utah Code 63G-2-305(9)(2023)

SECONDARY DESIGNATION(S):

Private. Utah Code 63G-2-302(2)(d)(2023)

AGENCY: Insurance Department

SERIES: 81660

3

TITLE: Investigative case files

DATES: 1981-

ARRANGEMENT: Numerical by investigative file number

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

These are preliminary investigative case files used to determine if docketed action is necessary against a company or individual who is suspected of having violated a state insurance law or regulation. These files include letters, depositions, summaries of phone calls, investigative notes, memorandums, and applications.

RETENTION:

Permanent. Retain for 10 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/1999

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative value has been met and then transfer to State Records Center. Retain in State Records Center for 10 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative value has been met and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, historical, and/or legal value(s). This retention is based on the evidentiary value of these records to researchers.

AGENCY: Insurance Department

SERIES: 81660

TITLE: Investigative case files

(continued)

PRIMARY DESIGNATION:

Protected Investigative information UCA 63G-2-305(9)(2008)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302(2)(d)(2008)

AGENCY: Insurance Department

SERIES: 21898

3

TITLE: Legal counsel work product files

DATES: 1990-

ARRANGEMENT: Alphabetical by respondent name

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These records are the work product files of the Insurance Department's legal counsel. The files are used to prosecute administrative actions taken by the department against licensees and others who fall under the agency's jurisdiction.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 07/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the use of these records in the preparation of legal actions against licensees or others under the jurisdiction of the Insurance Department.

AGENCY: Insurance Department

SERIES: 21898

TITLE: Legal counsel work product files

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(17)(2008)

AGENCY: Insurance Department

SERIES: 81661

3

TITLE: Legal process files for foreign companies

DATES: 1984-

ARRANGEMENT: Alphabetical by name of company

DESCRIPTION:

Whenever litigation has been initiated by another state against a company licensed in Utah, the code requires that the Commission be served and documents forwarded to the County for fee. The Commission forwards a copy of the legal documentation to that company in order that it can be filed. These files include correspondence, summons, complaints, service of processes, and briefs.

RETENTION:

Retain for 2 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).

This retention is based on the administrative needs as negotiated with the staff of the department.

AGENCY: Insurance Department

SERIES: 81661

TITLE: Legal process files for foreign companies

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 18177

3

TITLE: Legislative records

DATES: 1990-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 4.00 cubic feet.

DESCRIPTION:

These records document the Insurance Departments legislation and rules activities. The records are used to track previously submitted legislation and rules, to determine future needs of the agency. The information documents both rules submitted to the division of Administrative Rules, and proposed legislation to the Legislature. Information includes copies of approved and failed legislation, and rules.

RETENTION:

Permanent. Retain for 7 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Proposed legislation records, GRS-1690.

AUTHORIZED: 12-01-1992

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have historical value(s).

The records in this series document agency history and functions.
The records have ongoing research potential.

AGENCY: Insurance Department

SERIES: 18177

TITLE: Legislative records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 11325

3

TITLE: Liquidation records

DATES: 1977-

ARRANGEMENT: Alphabetical by company name

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These are files the department receives from insurance companies that are in receivership and/or liquidation, covered by UCA 31A-27-101 (1993). They contain a variety of information based on the type of company which could include personal information about company employees, Preferred Employee Benefit Association (PEBA) information, financial data, property and/or mortgage information.

RETENTION:

Retain for 8 year(s) after final action

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1994

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after completion of the receivership or liquidation and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 11325

TITLE: Liquidation records

(continued)

PRIMARY DESIGNATION:

Private UCA 63G-2-302 (1)(b) and (2)(d) (2008)

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-305 (1), (6), (7), and (8)(b) (2008)

AGENCY: Insurance Department

SERIES: 14975

3

TITLE: Market conduct examination work papers

DATES: 1987-

ARRANGEMENT: Alphabetical by last name

ANNUAL ACCUMULATION: 8.00 cubic feet.

DESCRIPTION:

Documents used by the examiner to complete the examination process of individuals testing to obtain a license to sell insurance in the state of Utah. Information includes examination documents, notes, correspondence, premiums, and claim information.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years after next audit of company, agent, or organization and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This disposition is based on the administration and fiscal needs as expressed by the agency.

AGENCY: Insurance Department

SERIES: 14975

TITLE: Market conduct examination work papers

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305 (8)(b)(e)(2008)

AGENCY: Insurance Department

SERIES: 14774

3

TITLE: Policy and procedures files

DATES: 1975-

ARRANGEMENT: Numerical by policy number

DESCRIPTION:

Policies and procedures that govern the operation and administration of various programs within the organization.

RETENTION:

Permanent. Retain until superseded

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Program and policy development records, GRS-1717.

AUTHORIZED: 02-26-2020

FORMAT MANAGEMENT:

Paper: Retain in Office until superseded and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 17379

3

TITLE: Professional employer organization licensing files

DATES: 1994-

ARRANGEMENT: Numerical by license number

ANNUAL ACCUMULATION: 0.10 cubic feet.

DESCRIPTION:

These are applications and licenses for employee leasing companies. Employee leasing companies, under an agreement between the client company and the leasing company places employees of the client company on the leasing company's payroll and leases them to the client company on an ongoing basis with no restrictions on the duration of employment. Applicants must meet criteria for licenses. (UCA 58-1-301 (2005). Information includes name address, birthdate, education, and work experience.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 03/2006

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

APPRAISAL:

These records have administrative value(s).

AGENCY: Insurance Department

SERIES: 17379

TITLE: Professional employer organization licensing files

(continued)

PRIMARY DESIGNATION:

Public UCA 63G-2-301(2)(r) (2008)

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302(2)(d) (2008)
Exempt. UCA 58-1-106(2)and(3) (2008)

AGENCY: Insurance Department

SERIES: 3007

3

TITLE: Publications

DATES: 1908-

ARRANGEMENT: Chronological

DESCRIPTION:

This series contains documents created by the agency, including pamphlets, reports, leaflets, bulletins, file manuals, and other published or processed documents. These records include information on administration, legal matters, fiscal and financial operations, insurance companies, laws, rules, regulations, and all other activities of the Insurance Department. This series consists primarily of isolated publications not part of a more specific series. Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: For records beginning in 1979 through 1983. Retain in State Archives permanently with authority to weed.

Microfiche duplicate: For records beginning in 1979 through 1983. Retain in State Archives permanently with authority to weed.

AGENCY: Insurance Department

SERIES: 3007

TITLE: Publications

(continued)

APPRAISAL:

These records have historical value(s).

Publications document agency history and functions. Publications have ongoing research value.

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 14142

3

TITLE: Purchasing group files

DATES: 1990-

ARRANGEMENT: Alphabetical by company name

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

These files contain applications from insurance companies requesting licenses to conduct business in the state of Utah as a purchasing group. Information in the files includes disclosure statements, power of attorney, and general correspondence.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 81681

3

TITLE: Records retention schedule

DATES: 1987-

ARRANGEMENT: none

DESCRIPTION:

These files contain the Records Retention Schedule for the Insurance Department. The Records Retention Schedule contains the retention requirements for all of the Insurance Department's records series. The schedule details the in office retention for the files contained in the series, the total retention required, the ultimate disposition of the files, whether it be destruction or transfer to the Utah State Archives and Records Service for permanent retention. Government records are required to be scheduled by the Government Records Access and Management Act (UCA 63-2-101 et. al.) and the Records Retention Schedule documents the compliance of the Insurance Department in the management of these records.

RETENTION:

Retain until superseded

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until next update of retention schedule and then destroy.

APPRAISAL:

These records have administrative value(s).
This retention is based on Utah General Schedule 16 Item 11.

AGENCY: Insurance Department

SERIES: 81681

TITLE: Records retention schedule

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 14140

3

TITLE: Risk retention group files

DATES: 1990-

ARRANGEMENT: Alphabetical

DESCRIPTION:

These are Risk Retention companies who have either withdrawn from operating in Utah or have been terminated by the Insurance Department because they were not in compliance with state of Utah rules. UCA 31A-15-204(1996) sets the guidelines for Risk Retention Insurance companies. Information includes application, biographical data, legal documents pertaining to the Risk Retention insurance company licensing, and related correspondence.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1997

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 14140

TITLE: Risk retention group files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302(2)(6) (2008)

Exempt. UCA 31A-5-204(8) (2008)

AGENCY: Insurance Department

SERIES: 81683

1

TITLE: Staff minutes

DATES: 1986-

ARRANGEMENT: none

DESCRIPTION:

Minutes of staff meetings

RETENTION:

Permanent. Retain for 5 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 5 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
This retention is based on Utah General Schedule 23 Item 2a.

AGENCY: Insurance Department

SERIES: 81684

3

TITLE: Telephone bills

DATES: 1989-

ARRANGEMENT: Chronological.

DESCRIPTION:

Bills which document calls made from state offices. Bills also include the number called and the length, time, and date of phone call.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

AUTHORIZED: 02-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 7 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 12 Item 2c.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2019.

AGENCY: Insurance Department

SERIES: 23083

3

TITLE: Time sheets

DATES: 1985-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These records track the time and attendance of Insurance Department employees. Information may include flextime attendance reports, supplemental time and attendance records (i.e. sign-in and sign-out sheets), and work reports that are used for time accounting under flextime systems.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Timekeeping records, GRS-1902.

AUTHORIZED: 02-20-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 27449

3

TITLE: Title and Escrow Commission meeting minutes

DATES: 2005-

ARRANGEMENT: Chronological by meeting date.

DESCRIPTION:

These records document the monthly meetings of the Title and Escrow Commission. The commission is composed of five appointed members and makes rules relating to title insurance and renewals of title licenses. The commission also concurs in issuance and renewals of title licenses, establishes title fee schedules, and determines assessments on title insurers. Information includes agenda, meeting minutes, licensing and enforcement reports, attachments, audio tapes, and related records.

RETENTION:

Permanent. Retain for 8 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Open meeting minutes & supplementary materials, GRS-1709.

AUTHORIZED: 10-28-2020

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need met and then transfer to State Records Center. Retain in State Records Center for 8 years and then transfer to State Archives with authority to weed.

Audio cassettes: Retain in Office until administrative need met and then transfer to State Records Center. Retain in State Records Center for 8 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative need ends and then transfer to State Archives with authority to weed.

AGENCY: Insurance Department

SERIES: 27449

TITLE: Title and Escrow Commission meeting minutes

(continued)

APPRAISAL:

These records have administrative, fiscal, historical, and/or legal value(s).

These records are used administratively and have fiscal value as they document required fee schedules and assessments. They have legal value as they are required and defined by UCA 31A-2-403 and 404 and UAC R592. The records have historical value as they document the activities of the Commission and its decisions and accomplishments and provide historical information for changes in the laws and rules administered by the department. They provide legal and historical value in areas of administrative, enforcement, and licensing actions.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Protected. UCA 63G-2-304 (32)

AGENCY: Insurance Department

SERIES: 14970

3

TITLE: Title insurance organization annual reports

DATES: 1980-

ARRANGEMENT: Alphabetical by insurance organization name

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

Annual financial, reserve fund, and bonding requirements reports required by title agents/organizations as required by Utah Administrative Code R590-16, and UCA 31A-23-313 (1994). The information documents the financial and security of title companies doing business in Utah. The reports are filed with the Commissioner of the Insurance Department.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 14970

TITLE: Title insurance organization annual reports

(continued)

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(2)(2008)

AGENCY: Insurance Department

SERIES: 81685

3

TITLE: Travel reimbursement files

DATES: 1989-

ARRANGEMENT: none

DESCRIPTION:

Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, and all supporting records documenting official travel by officers, employees, dependents, or others authorized by law to travel.

RETENTION:

Retain for 3 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Reimbursement files, GRS-1833.

AUTHORIZED: 01-11-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This retention is based on Utah General Schedule 9 Item 4.

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 11324

3

TITLE: Utah Comprehensive Health Insurance Pool (HIPUtah) Records

DATES: 1991-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 1.50 cubic feet.

DESCRIPTION:

These records document all files in the operation of the Utah Comprehensive Health Insurance Pool (HIPUtah), as required by UCA 31A-29-101-123. The HIPUtah program is being administered by SelectHealth and was previously administered by Regence Blue Cross/Blue Shield of Utah. The files contain records of deposits of premiums and interest earned from investment accounts including copies of FINET reports.

RETENTION:

Retain for 11 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 07/1999

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year or until audit and then transfer to State Records Center. Retain in State Records Center for 10 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
This disposition is based on the fiscal value of these records and the input of this information into the State's FI-NET system.

AGENCY: Insurance Department

SERIES: 11324

TITLE: Utah Comprehensive Health Insurance Pool (HIPUtah) Records

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Insurance Department

SERIES: 15034

3

TITLE: Warranty service contract filings

DATES: 1992-

ARRANGEMENT: Alphabetical by provider name

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These records contain policy forms sent to the department by "nonadmitted insurer" companies. UCA 31A-1-301(80)(a) defines "nonadmitted insurer" companies as insurance entities that do not have certificates of authority to conduct insurance business in the state of Utah. They are allowed to conduct business under UCA 31A-6a-101 thru 31A-6a-110. The records document warranty and extended service contracts.

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 10/1998

FORMAT MANAGEMENT:

Paper: Retain in Office until administrative need ends and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Insurance Department

SERIES: 15034

TITLE: Warranty service contract filings

(continued)

PRIMARY DESIGNATION:

Public