



Ohio Department  
of Insurance

**Mary Taylor**  
Lt. Governor / Director  
50 West Town Street  
Third Floor - Suite 300  
Columbus, Ohio 43215

**Records Retention Schedule Inquiry**

<u>ODI Sch #</u>	<u>DAS Sch #</u>	<u>Title</u>	<u>Description</u>	<u>Retention Period</u>	<u>Justification</u>	<u>Effective Date</u>
100-02	820-0349	Biography of Director	Biographical data on the current Director. (Paper/Electronic)	In office until obsolete; then to Archives for review of administrative value.		11/19/2002
100-06	820-0687	Stabilization Reserve Fund & Recon of Ops Documents	Documents on the formation of the stabilization reserve fund, minuets of meeting with board of directors. (Paper/Electronic)	In office 5 years after final audit approval from IRS (RE: tax return); then review by State Archives prior to disposal.		07/01/2005
100-07	820-0604	Stabilization Reserve Fund Transaction Activity & Expenditure Bank Rec. Statements	Expense reports, invoices, authorizations for expenditures, accounting ledgers, bank records and professional liability underwriting assoc. (Paper/Electronic)	Retain 5 years after creation; then destroy.		09/14/2007; 03/10/2005
100-09	820-0743	Stabilization Reserve Fund Board Administration Documents	Documents relative to the general administration appointment letters, resignation letters, lists of members, correspondence to board. (Paper/Electronic)	In office 1 year; then review by State Archives prior to disposal.		07/01/2005
100-10	820-0431	Parking Passes	Parking passes for employees conducting business downtown. (Paper/Electronic)	Retain 1 year, then destroy.		09/13/2007
100-11	820-0685	Contributor Correspondence	Correspondence received from stabilization reserve fund contributors thru existence of fund. (Paper/Electronic)	In office 1 year; then review by State Archives prior to disposal.		07/01/2005



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100-15	820-0432	Airline Information	Airline policies and procedures, travel memos, frequent flyer numbers, itineraries, ticket log, PNC corporate billing statements and travel brochures. (Paper/Electronic)	Retain 2 years, then destroy.	09/13/2007
100-22	68200032	MBE Report	Annual report of money spent on minority business enterprises. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/13/2007
120-01	820-0824	Delinquent Accounts Certified to Attorney General	Records of unpaid invoices certified to Attorney General's office for collection. Contains confidential information (SSN on unpaid agent invs.). (paper/electronic)	Retain until paid and audited by state and report released, then destroy.	05/14/2009
120-02	820-0825	Unclaimed Funds Records from Commerce	Records of unclaimed funds submitted to Commerce as money owed to the Ohio Department of Insurance. (paper/electronic)	Retain until audited by state and report released, then destroy.	05/14/2009
120-24	820-0130	Liability Bond File	Worksheets for determining amount of liability bonds for department and personnel. (Paper/Electronic)	In office 2 years; then destroy.	01/03/2003
120-30	820-0136	Bad Check File	Used to record receipts or repayment where the original payment was in error, duplicated, or made illegally and the department has been reimbursed. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007; 01/03/2003
120-35	820-0141	Securities Quarterly	Listing (by company) of total amount of securities on deposit with the State Treasurer. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	01/07/2008; 01/03/2003



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120-37	820-0143	Securities Company File	Statutory policyholder deposits, listings of investments held (certificates of deposits), bank statements, and related correspondence. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		01/07/2008; 01/03/2003; 06/16/2010
120-38	820-0144	Released Securities	Detailed list of companies whose securities have been released by the State Treasurer. (Paper/Electronic)	In office 5 years; then destroy.		01/03/2003
120-39	820-0145	Closed/Inactive Company Securities	Ledger pages of company security deposits and withdrawals; list of final two securities. (Paper/Electronic)	In office until superseded or until audited and report released; then destroy.	Not infrequently companies claim non-receipt of requested securities. This file serves as a backup proof securities were shipped. Questions often arise after company mergers or changes ownership by auditors as they review company records going back 15-20-25 years.	01/03/2003
120-40	820-0146	Securities Ledger	Chronological listing of securities deposits and withdrawals. (Paper/Electronic)	In office until superseded or until audited and report released; then destroy.		01/03/2003



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120-45	Pe820-0252	Book Entry Legal Deposit/Withdrawal	Forms from insurance companies giving ODI authority to deposit and withdraw securities through book entry means. Form INS2011. (Paper/Electronic)	Retain 5 years after inactive, then destroy.	This record is referred to regularly by the State Auditors office.	pending revision 04/07/2008; 01/03/2003
120-46	Pe820-0253	Bank Affidavit	Affidavits of agreement between insureds and bank regarding securities. Form INS2010. (Paper/Electronic)	Once company inactive or change of bank, retain until audited by state and report released, then destroy.	Legal ramifications could occur if affidavits were destroyed while company still active.	pending revision 04/07/2008; 01/07/2008; 01/03/2003
120-47	820-0254	Hold Notice	Copies of notices sent to banks to hold interest payments on securities. (Paper/Electronic)	In office until superseded; then destroy.		01/03/2003
120-64	820-0117	Equipment Maintenance Records	Maintenance records from servicemen repairing equipment under a maintenance agreement. (Paper/Electronic)	In office 1 year; then destroy.		01/03/2003
120-67	820-0120	OAKS Reports	Reports regarding OAKS budget, receiveables/revenues, and payables. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		01/07/2008; 06/22/2005
120-69	820-0122	Blanket Fidelity Bond	Copies of ODI's documentation on blanket fidelity bonds. (Paper/Electronic)	In office 2 years; then destroy.		01/03/2003
120-79	682000-18	Miscellaneous Expense Reimbursements	OBM7283 Form. Covers reimbursements to employees for infrequent or emergency purchases. (Paper/Electronic)	In office until audited and report released; then destroy.		05/12/2003
120-84	682000-43	Payment Card Reports/Logs	Reports and/or logs to reconcile to OBM credit card usage of staff. (Paper/Electronic)	Retain until audited by state and report released; then destroy.		09/14/2007; 05/12/2003



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120-85	682000-44	Deposit/Revenue Reports	Daily and monthly report of deposits made. Includes report listing all checks deposited and which funds were deposited to. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	01/07/2008; 05/12/2003
130-01	820-0415	General Facility File	Correspondence between the Department and building owner regarding general facility operations. Includes letters from OSHA, Fire Department and other companies. (Paper/Electronic)	Retain 2 years, then destroy.	02/03/2010; 12/17/2009; 09/13/2007
130-07	820-0749	Forms Design Standards, Lists, & Database	Forms design standards, lists of current forms, and database to register on intranet. Includes list of form members and copies of forms used by the department. (Paper/Electronic)	Retain until superseded, replaced, or obsolete, then destroy.	10/13/2009, 03/14/2003
130-08	820-0272	Long Range Planning File	Plans for implementation of data systems long-range and any other pertinent information pertaining to planned data purchases and installations for the Department. (Paper/Electronic)	In office 5 years; destroy when obsolete.	05/23/1991
130-10	820-0746	Project Documentation	Information regarding current, on-going and/or completed projects and assignments that documents problems and progress. Includes specifications for division computer projects. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.	09/10/2007; 03/14/2003
130-13	820-0277	COSMOS Enhancement Request	Program modifications to change COSMOS. (Paper/Electronic)	In office 3 years; then destroy.	03/14/2003



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130-14	820-0755	COSMOS System Documentation	Updates and changes in COSMOS. Our COSMOS system enables is to automate nearly all database functions with a single, Web-enabled system. COSMOS eliminated the traditional paper forms used by state insurance agencies by managing information on carriers, agencies, and agent producers in one integrated Oracle database. (Paper/Electronic)	Retain 2 years, then destroy.	03/02/2006
130-15	820-0279	COSMOS Data Statistics	Statistics and summaries of COSMOS related information. (Paper/Electronic)	In office 5 years; then destroy.	03/14/2003
130-20	820-0284	Division Folders	Information regarding different computer folders assigned to each division; memo folders. (Paper/Electronic)	In office until superseded; then destroy.	05/23/1991
130-22	820-0286	Back Up Tapes Storage Receipts	Copies of receipt (proof) that a secured records storage facility received and returned back-up tapes. (Paper/Electronic)	Retain hard copy until entered into database, then shred. Retain database until superseded by next cycle, then erase.	05/15/2012; 03/14/2003
130-37	820-0727	Employee Electronic Documents	Electronic documents of former employees, including emails and all other information created by the employees located on their H drive, downloaded onto a disc. (Electronic)	Retain 2 years from date disc is burned; then destroy.	12/09/2005
140-03	820-0005	Current & Preceding General Assembly	Proposed and enacted insurance related legislation. (Paper/Electronic)	In office 2 years; then destroy.	06/26/1986



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140-06	820-0008	Legislative Correspondence	Letters to ODI from legislators on behalf of their constituents requesting information or assistance. (Paper/Electronic)	In office 2 years; then destroy.	06/16/2003
140-07	820-0009	Governor's Correspondence	Department prepared response or correspondence which will be sent under the Governor's signature. (Paper/Electronic)	In office 2 years; then destroy.	06/26/1986
150-01	820-0840	Annual Title Filing (submitted by Ohio Title Licensees)	On August 2nd, 2010, Ohio Administrative Code Rule 3901-7-01 (Annual Review of Title Agent Escrow Accounts) was amended. The amended statute requires all licensed title agents and agencies to submit an Annual Title Filing that includes either a CPA audit of their accounts or an Exemption Form as well as other depository account and insurance information. (Paper/Electronic)	Retain 5 years, then shred/erase.	03/22/2011
150-13	820-0211	License Applications/Renewals/Notification of Changes	Applications, changes, and supporting documents for all license types. Including but not limited to exam results, BCI reports, any and all documents and correspondence relative to agents. (Paper/Electronic)	Retain 5 years after inactive, then shred/erase.	09/19/07; 11/13/2002/2015



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150-43	820-0509	PLE & CE Provider Records	All documents and correspondence related to education providers & courses, including instructors, schedules & rosters for PLE & CE providers (Paper/Electronic)	Retain 3 years after inactive, then shred/erase.		09/19/2007; 06/24/1997/2015
150-52	68200033	Appointment/Cancellation Lists	Lists of agents and agencies being appointed or cancelled by company. (Paper/Electronic)	In office until audited and report released; then destroy.		11/13/2002
150-61	820-0842	CE Non-Compliance Administrative File	All documents and electronic systems (old CE Legal-Duryee, Old CE Legal- Covington, New CE Legal, Next CE Legal) related to CE (continuing education) tracking and administrative actions.	Retain 5 years after end of compliance period, then destroy	Administrative tracking systems and records related to CE non-compliance for education compliance periods ending on 12/31/2009 and before are no longer necessary as laws have combined CE compliance and Agent's license status	8/31/2015 9/19/2007; 9/15/2005
170-01	820-0703	Historical Complaint Tracking Database	Data used to reference information regarding consumer complaints (e.g. company name, complaint reason, coverage, etc.) (Electronic)	Retain 8 years after closed date; then erase.	For reporting purposes, specifically, trend analysis and other internal reporting needs.	04/07/2008; 09/29/2005



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170-02	182005-68	Complaint Files	Complaints and investigative correspondence related to complaint resolution. (Paper/Electronic)	Retain hard copy until imaged, then shred. Retain image 2 years from closed case date, then erase.	09/11/2007; 07/21/2004
170-02	182005-68	Complaint Files	Complaints and investigative correspondence related to complaint resolution. (Paper/Electronic)	Retain hard copy until imaged, then shred. Retain image 2 years from closed case date, then erase.	02/26/2008
170-03	820-0826	Missing Life/Annuity Request	Notarized request from consumers asking for assistance in locating missing life policies or annuity contracts on the life of a deceased family member (includes copy of certified death certificate). If request is incomplete, notice is sent to requestor for further information. On a monthly basis, completed requests will be transferred to life insurers to search their records for a known policy and to reply to requestor. ODI will serve ONLY as a conduit between the requestor and the Ohio life insurance companies. (Paper/Electronic)	Image hard copy, then shred. Incomplete request: Retain electronic record 30 days after notification to requestor, then erase. Complete request: Retain electronic record 180 days after upload to insurance company, then erase.	06/30/2009
170-06	820-0759	Speaker Requests	The public requesting a speaker from the agency to speak at their event. (Paper/Electronic)	Retain 6 months; then destroy.	06/01/2007
180-01	820-0048	Closed Investigations with Criminal Charges	Investigative files closed after a criminal charge has been filed. (Paper/Electronic)	On-site 5 years after all potential litigation is exhausted; then shred.	09/29/2004



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180-03	Pe820-0506	LEADS Records	LEADS (Law Enforcement Automated Data System) equipment, manuals, directives, logs, printouts (criminal histories), certification records and audit reports. CONFIDENTIAL 3901.44 & 149.49(A)(2) (Paper/Electronic)	Retain until no longer of value, then destroy.	pending revision 02/20/2008; 06/22/2005
180-04	820-0822	Evidence Logs	Any and all records pertaining to the storage of evidence taken into custody. Includes database. (Paper/Electronic)	Retain until no longer of administrative value, then destroy.	04/07/2008
180-05	820-0815	Imprest Fund Records	Fraud/Enforcement advanced funding records. Includes policies and procedures, check register, bank account information, imprest requests, expenditure records, monthly reconciliation reports, requests for reimbursement, deposit records, bank statements, and quarterly reports. (paper/electronic)	Retain until account is closed by agency and final audit and report released by OBM, then shred/erase.	01/23/2008



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180-06	Pe820-0176	Fraud & Enforcement Statistical Reports	Statistical reports maintained with regard to allegations of misconduct or fraud committed by an insurance agent, insurance agency, company, consumer, healthcare provider or memeber of the general public. The reports track the number of complaints received, the specific case types, prosecution data, etc. (Paper/Electronic)	Retain until no longer of value, then destroy.	History of trends and performance.	pending revision 01/23/2008; 03/17/2005
180-07	820-0818	Fraud/Enforcement Presentations & Manuals	Fraud/Enforcement presentations, handouts, training manuals, and equipment manuals. (Paper/Electronic)	Retain until no longer of use or superseded, then shred/erase.		01/07/2008
180-07	820-0818	Fraud/Enforcement Presentation & Manuals	Fraud/Enforcement presentations, handouts, training manuals, and equipment manuals. (Paper/Electronic)	Retain until no longer of use or superseded, then shred/erase.		01/07/2008
180-12	820-0264	Allegations of Misconduct/Fraud	All records and other information obtained by the Superintendent of insurance relating to an allegation of fraud committed by an insurance agent, agency, company, unlicensed entity, consumer, medical provider, or member of the general public. Includes database. CONFIDENTIAL ORC 3901.44 & 149.43(A)(2) (Paper/Electronic)	Retain 20 years, then destroy.	Future reference is needed to see if suspect is establishing a pattern	04/03/2008; 09/10/2007; 03/18/2005
180-23	820-0591	Closed Investigations without Criminal Charges	Investigative files closed without a criminal charge having been filed. (Paper/Electronic)	Retain 5 years after case closed; then shred.		06/15/2005



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190-02	820-0100	Contents of E-Cases Closed WITHOUT Administrative Actions	All evidence gathered and maintained with regard to an Enforcement investigation that was closed without administrative action being taken against the individual or entity. Includes Allegations of Misconduct (Enforcement investigation opened and closed without Administrative actions taken.) Excludes database. CONFIDENTIAL ORC 3905.24 & 149.43(A)(2) (Paper/Electronic)	Retain 4 years, then shred/erase.		02/23/2011; 04/07/2008; 10/28/2002
190-03	820-0729	1033 Files & Consent Waivers	Files containing 1033 applications and supporting documentation submitted by individuals seeking a 1033 waiver to engage in the business of insurance. Consent orders generated by the Superintendent of Insurance. (Paper/Electronic)	Retain 3 years after individual is no longer engaged in the business of insurance or denied a waiver, then destroy.	Must be able to prove individual has the authority to engage in the business of insurance.	02/20/2008; 12/13/2005
190-04	820-0102	Contents of E-Cases Closed WITH Administrative Action	All evidence gathered during the course of an Enforcement investigation that resulted in administrative action being taken against an individual or entity. Administrative actions include consent orders, "default" orders, "voluntary surrender forms" and orders issued after an administrative hearing. Includes Allegations of	Retain 10 years, then shred/erase.	Revised Code section 3905.15 provides that a person, whose license has been denied, suspended, revoked, or surrendered for cause may request modification of that order,	02/23/2011; 04/16/2008; 04/04/2005



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Misconduct  
(Enforcement  
investigation opened and  
closed with  
Administrative actions  
taken.) Excludes  
database.  
CONFIDENTIAL ORC  
3905.24 & 149.43(A)(2)  
(Paper/Electronic)

and that the  
superintende  
nt shall hold  
a hearing  
regarding the  
modification  
request. It is  
required that  
the  
modification  
request  
cannot be  
made prior to  
five years  
from the date  
of the order  
imposing the  
penalty.  
Most agents  
and  
applicants  
who request  
modification  
do so within  
five years of  
the time they  
are permitted  
to do so, and  
the  
enforcement  
files must be  
available for  
the  
modification  
hearing.



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190-05	820-0820	Allegations of Misconduct - No Enforcement Investigation Initiated	Records associated with allegations of misconduct by agents/agencies/unlicensed individuals/entities. All records created, submitted, and/or obtained in conjunction with an alleged violation of an Ohio insurance law committed by an insurance agent, agency, company or an unlicensed individual and/or entity. Excludes electronic records maintained in the Investigation module database. CONFIDENTIAL ORC 3905.24 & 149.43(A)(2) (Paper/Electronic) NOTE: Allegations of Misconduct and an Enforcement Investigation was opened - Closed without administrative action taken see 190-02, Closed with administrative action taken see 190-04.	Retain 4 years, then shred/erase.		02/23/2011; 04/04/2008
190-06	820-0838	Allegations Maintained within the Investigation Module Database	Individual electronic records created in the Investigation Module database for the purpose of documenting allegations received by the ODI Enforcement Division. CONFIDENTIAL ORC 3905.24 & 149.43(A)(2) (Electronic)	Retain 10 years from initiated date, then erase.	The information contained within the database allows the agency to generate reports on trends based upon historical data.	02/23/2011



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190-07	820-0839	E-Case Records Database	Individual electronic records (E-Case) created in the E-Case Module database to document investigations opened and conducted by the ODI Enforcement Division. CONFIDENTIAL ORC 3905.24 & 149.43(A)(2) (Electronic)	Retain 10 years from initiated date, then erase.	The information contained within the database allows the agency to generate reports on trends based upon historical data.	02/23/2011
200-01	820-0029	Domestic/Foreign Annual Statements	Electronic annual financial statements for all Ohio based insurance companies and foreign companies. Includes the signed jurat page and the actuarial certification. (Electronic)	Retain 5 years, then destroy/erase.		12/10/2007; 09/19/2005
200-02	820-0306	Acquisition, Merger & Reorganization Filings (Form A)	Filings of acquisitions, mergers or reorganization of domestic stock or mutual insurance companies, health insuring corporations and fraternal benefit societies. (Paper/Electronic)	Retain 5 years from date of approval; then shred/erase.		09/11/2007; 04/19/2006
200-03	820-0837	Reports of Examination	Domestic and Foreign reports of examination of the financial statements from insurance companies. (Paper/Electronic)	Retain hard copy until imaged, then destroy. Retain image until superseded, then erase.	These companies are financially examined approximately every 3-5 years and these reports are used to reference past financial history in the exam review process.	04/21/2010; 07/01/2005



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200-04	820-0032	Work Papers for Reports	Information gathered during examinations. (Paper/Electronic)	On-Site until superseded; then destroy.	Records are continuously used and replaced as needed for future exams.	03/11/2005
200-05	820-0033	Abstract File - Form D	Legal documents regarding insurance companies subject to subpoenas, including by-laws, articles, amendments, application of various forms, copies, certificate's of authority. (Paper/Electronic)	Retain hard copy until imaged; then destroy hard copy. Retain image & review every 5 years, transfer to updated media if needed.	is needed because these companies are subject to litigation for various reasons.	01/29/2004
200-06	820-0345	Domestic Regulatory Analysis Surveillance	Information pertaining to the financial analysis of domestic insurance companies performance or non-performance. Used to monitor financial status of companies doing business in Ohio. (Paper/Electronic)	Current year in office; on-site 5 years; then destroy.		03/29/1999
200-07	820-0346	Domestic/Foreign Quarterly Statements	Quarterly financial statements for all Ohio based insurance companies and Foreign companies. Includes the signed jurat page and the actuarial certification. (Paper/Electronic)	Retain hard copy until image; then destroy hard copy. Retain image 10 years; then erase.	Required by 3901.42	09/19/2005
200-08	820-0015	Proxy Statements	Disclosure of insurance companies that solicit proxies from stockholders. (Paper/Electronic)	Retain 5 years, then destroy.		04/03/2008; 07/02/1991



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200-09	820-0823	NAIC Interim Annual Review	NAIC (National Association of Insurance Commissioner) interim annual accreditation evaluation. Evaluating Risk Assessment implementation and compliance with Ohio laws through statutory practices and procedures. (Paper/Electronic)	Retain 10 years, then destroy.	Used for accreditation .	02/03/2009
200-10	820-0218	Venture Capital Schedule	Reports of investments which insurance companies make in venture capital firms. (Paper/Electronic)	In office 1 year; then destroy.		03/11/2005
200-16	820-0758	Viatical Settlement Provider Applications	Active viatical settlement providers. Plan of operation, biographical affidavits, criminal record checks, financial statements, articles of incorporation, secretary of state registration. Includes disapproved and withdrawn applications. (Paper/Electronic)	Approved Application: Retain hard copy until imaged; then destroy hard copy. Retain image permanently. Denied/Withdrawn Application: Retain hard copy 3 years and until imaged; then destroy hard copy. Retain image permanently.	For litigation and examination purposes.	12/18/08; 06/07/2007
200-18	820-0302	Assignment File	Agency assignment forms with dates and locations of audits. (Paper/Electronic)	In office until superseded; then destroy.		03/11/2005
200-20	820-0304	Company Reference File	Names, addresses, type of company, type of insurance sold by company, license date, etc. on all active and inactive companies licensed to sell insurance in Ohio. (Paper/Electronic)	Retain 5 years, then destroy.		03/11/2005



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200-21	820-0827	Examination Schedule File	Contains cumulative records concerning examination and examination dates for each domestic insurance company. (Paper/Electronic)	Retain hard copy until imaged, then destroy. Retain image until superseded, then erase.	These companies are financially examined approximately every 3-5 years and these reports are used to reference past schedule history in the exam review process.	01/15/2009; 01/03/2006
200-22	820-0299	Problem Company File	Official letters to foreign companies that were in poor financial condition to cease writing premiums in the state of Ohio until their financial situation improved. (Paper/Electronic)	In office until resolved; then destroy.	ORC 3903.48	01/12/2006
200-23	820-0300	Annual Report of Claims & Losses	Information on what insurance companies earned during the past year (even through the company declared an underwriting loss). (Paper/Electronic)	In office 5 years; then destroy.	ORC 3929.301	03/11/2005
200-24	820-0347	Consolidated Property & Casualty Annual Statements	Financial statements by all property & casualty insurance companies licensed to do business in Ohio. (Paper/Electronic)	Current year in office; then destroy.		09/15/2005
200-25	820-0342	Surplus Lines Statements	Annual and quarterly statements from limited lines companies. (Paper/Electronic)	Approved: In office until March 1 following year. Non-approved: In office until Dec 31 following year; then destroy.		03/11/2005



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200-26	820-0414	Premium Tax Worksheets	A calculation of premium taxes paid to the Department by insurance companies. Includes fire premiums and other tax documents. (Paper/Electronic)	Retain 3 years, then destroy.	Statute 5725.222 & 5729.102	09/25/2007; 09/15/2005
200-29	820-0564	Foreign Regulatory Analysis Surveillance	Contains information pertaining to the financial analysis of foreign insurance company performance or non-performance. Used to monitor financial status of companies doing business in the State of Ohio. (Paper/Electronic)	Current year in office; on-site 3 years; then destroy.		03/15/2005
200-36	820-0600	Holding Company Files - Form B/C	Registration and/or reports of insurers authorized to do business in the state of Ohio under the insurance holding company regulatory act. ORC 3901.3.02 Confidential ORC 3901.36 (Paper/Electronic)	Retain 2 years, then destroy.		09/25/2007; 02/10/2006
200-42	820-0692	UCAA Admission Application	Approved/Withdrawn/Denied uniform certificate of authority applications used to admit companies to do business in Ohio. Includes name changes/mergers/re-domestications. (Paper/Electronic)	Approved: Image after approved. Destroy hard copy once imaged. Keep image 1 year, then destroy. Denied: In office until 119 hearing date has passed or hearing officer approves Application to move forward. Withdrawn: Destroy hard copy once imaged. Destroy image after 3 months.		06/07/2007



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210-01	820-0089	P&C Filing Submissions	Rates, rules, policy forms, including supporting documentation, final deposition, and related correspondence to and from admitted insurance companies, rating bureaus, and rating organizations. Also, includes filing authorization list. Filing submission required pursuant to ORC 3935.04 and 3937.03. (Paper/Electronic) JUSTIFICATION: History of Company's filing. Proposed retention period will more closely mirror what products and rates are currently available in the marketplace.	Retain 10 years, then destroy.	02/23/2008; 12/21/2004
210-02	820-0090	Medical Liability Closed Claims Data	Collection and disclosure of medical liability closed claims data that is provided to the Department pursuant to ORC 3929.302. Data reported by authorized insurer, surplus lines insurer, risk retention group, self-insurer, captive insurer, or any entity that provides medical malpractice insurance with regards to their closed claims. (Paper/Electronic)	Retain 20 years from closed date, then destroy.	02/23/2008 Used for trending purposes.



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210-03	820-0091	Rating Bureau/Advisory Organization/Rating Organization/Statistical Agents	May include constitution, articles of agreement or certification, bylaws, rules, regulations, list of members/subscribers, name/address to send notices/orders, agreement/statement of qualifications, any amendments and licenses issued by the Department of Insurance. Required pursuant to ORC 3935.06, 3935.10, 3935.12, 3937.05, 3937.09, and 3937.12. (Paper/Electronic)	Retain 1 year after inactive, then destroy.	02/23/2008; 07/01/1992
210-04	820-0092	Statistics File	Statistical data provided by rating organizations, statistical agents, and insurance companies. (Paper/Electronic)	Retain 5 years, then destroy.	02/23/2008; 01/29/2004
210-13	820-0197	Surplus Lines Affidavits/Filings	Affidavits from brokers attesting to placement of insureds in non-admitted market prior to 1997. ORC 3905.33. (Paper/Electronic)	Retain 5 years, then destroy.	02/23/2008; 12/21/2004
210-14	820-0198	Surplus Lines Quarterly/Annual Reports	Reporting of data by surplus lines brokers, agencies, risk retention groups, and risk purchasing groups that use surplus lines companies with respect to business transacted in Ohio per ORC 3905.36, 3960.03, and 3960.09. (Paper/Electronic)	Retain 5 years, then destroy.	02/23/2008; 09/10/2007; 12/21/2004



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210-15	820-0199	Risk Retention/Purchasing Group Registration	Risk retention group and purchasing group registrations to transact the business of liability insurance in the state of Ohio pursuant to ORC 3960.01-3960.07. Includes revisions. (Paper/Electronic)	Retain 1 year after inactive, then destroy.		02/23/2008; 12/15/2004
210-26	820-0557	Filing Review Workpapers	Analyst workpapers while reviewing the filings submitted by insurance companies, which are used for employee performance audits. (Paper/Electronic)	Retain 1 year, then destroy.		02/23/2008
210-41	820-0728	Municipality Files	Municipality ordinances and filings that enable insurance companies to secure certificates. (Paper/Electronic)	In office until superseded; then destroy.		12/13/2005
220-01	820-0025	Policy Form and Rate Filings	Policy form and rate filings, including supporting documentation, final disposition, and related correspondence to/from admitted insurance companies authorized to sell life, health, or managed care insurance products. Authority: Includes (but not limited to) ORC sections 3902.01-3902.08, 1751.11-12, and 1751.31. (Paper/Electronic) [CONFIDENTIAL: unapproved managed care filings per 1751.52 (A)]	Retain hard copy until imaged, then destroy hard copy. Retain image 10 years, then destroy.	Provides history of company product filing & indicates what products & rates are available in the marketplace.	12/09/2009; 09/10/2007; 12/15/2003



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220-02	820-0831	Small Employer Health Care Alliance COA Filings	Applications and supporting documents submitted to obtain or renew a Certificate of Authority (COA) as an Ohio Small Employer Health Care Alliance; related company/contact and compliance tracking data; related correspondence, reports, and workpapers. CONFIDENTIAL: Attorney-client privileged communications (ORC 2317.02(A)) (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Initial COA filing: Retain 2 years after inactive, then destroy. Renewal COA filing: Retain 3 years from the end of the applicable renewal year, then destroy.	Initial COA filing is required to evidence that the organization meets the requirements of ORC 1731, since most of the initial COA filing documentation is not required to be refiled upon renewal unless there is a substantive change.	09/18/2009
220-03	820-0581	Credit Insurance Experience Reports and Data	Data required for annual determination/adjustment of credit insurance prima facie rates. Includes historical (through calendar year 2007) credit insurance experience reports filed by insurers (no longer required) and experience data and analysis materials (provided by outside consultant or produced internally) and related correspondence. Authority: OAC 3901-1-14. (Paper/Electronic)	Retain imaged historical records 5 years from received date, then destroy. Retain data, analysis materials, and related correspondence 5 years after the applicable calendar reporting year, then destroy.	Historical data is required to support and document actuarial analysis in determination of statutory annual prima facie rates.	09/18/2009; 09/10/2007; 12/21/2004



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220-04	820-0619	Independent Review Organization (IRO) Accreditation	Documents relating to accreditation of Independent Review Organizations (IROs). Includes initial and renewal applications and supporting documents, disposition documents (certificates, denials, revocations), and related correspondence. Authority: OAC 3901-8-04. (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Initial Accreditation filing: Retain 2 years after inactive, then destroy. Renewal accreditation filing: Retain 3 years from the end of the applicable renewal year, then destroy.	Initial accreditation filing is required to evidence that the organization meets the requirements of ORC 3901-8-04, since refiling of documentation is not required upon renewal unless there is a substantive change.	09/18/2009; 12/21/2004
220-05	820-0832	Independent Review Organization (IRO) - External Case Reports	Case reports documenting external review decisions of health insurance coverage denials by accredited Independent Review Organizations (IROs). Authority: 1751.84-85, 3923.67-68, 3923.76-77. CONFIDENTIAL: Confidential per 3901.83. (Paper/Electronic)	Retain 60 days from case closed date for administrative case review, then destroy.		09/18/2009
220-06	820-0833	Periodic Statutory Life & Health Insurance Certifications	Periodic documentation required by insurers to demonstrate compliance with regulatory requirements relative to certain activities and practices for specified life and health insurance products. Authority: various sections of ORC 3923, 3924, 1751, and OAC 3901-1. (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Retain image 3 years from end of applicable calendar reporting year, then destroy.		09/18/2009



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220-10	820-0207	Medicare Supplement Refund Calculation Reports	Annual reports required per OAC Rule 3901-1-41 (N)(2)(a) from insurance companies, fraternal benefit societies, health insuring corporations, and any other entities delivering or issuing for delivery in Ohio Medicare supplement policies or certificates. (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Retain image 3 years from end of calendar reporting year, then destroy.		09/18/2009; 09/10/2007; 03/13/1997
220-17	820-0835	Life Insurance Reserve Valuation Filings	Materials relevant to valuation of reserves for Ohio domestic life insurers. Includes annual valuation filing materials (actuarial opinions, memorandum, etc.), reserve data reported through web-site application, and related analysis materials and correspondence. Authority: ORC 3901.77, 3903.72, 3905.40(A)(7); OAC 3901-3-11, 3901-6-10. (Paper/Electronic) [CONFIDENTIAL: memorandum & other material supporting actuarial opinion (ORC 3903.72(B)(3)(g))]	Retain hard copy until imaged, then destroy hard copy. Retain image 5 years from end of applicable calendar reporting year, then destroy.	Provides historical trend data necessary for actuarial review and analysis of life, annuity, and pure endowment contract reserves and issuance of annual certifications of valuation to Ohio domestic life insurers.	12/09/2009; 09/10/2007; 03/11/2003



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220-18	820-0834	Life Insurer Valuation Fee Filings	Supporting documentation and evidence of annual life insurance valuation fee payments received from Ohio domestic life insurers. Authority: ORC 3905.40(B) and 3905.401. (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Retain image until audited by state and report released, then destroy.	Used to evidence correct calculation and payment of fees required for issuance to insurers of annual certificates of valuation. Documentation also required for internal controls audit activities.	09/18/2009
220-20	682000-12	Life Insurance Illustrations Compliance	Certification, actuary appointment, and supporting documentation required to be filed for life insurance products that involve use of illustrations in the sale of the product. Authority: OAC 3901-6-04. (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Retain image 4 years after end of calendar reporting year, then destroy.	Demonstrate compliance by an insurer with regulations regarding required disclosures for life insurance sales materials.	09/18/2009; 03/05/2003
250-01	820-0014	Securities File	Sales prospectus, disclosure and other financial documents of insurance companies that issue/sell stocks. (Paper/Electronic)	In office 2 years; on-site 3 years; then destroy.		07/02/1991
250-03	820-0251	Routine Litigation	Documents pertinent to lawsuits in which the Department is involved in. (Paper/Electronic)	In office 10 years; on-site 10 years; then shred.		12/14/1990
250-05	820-0018	Insider Trading Reports	Records showing the sale and/or purchase of insurance company securities. R.C. 3901.3 (A) (Paper/Electronic)	Retain 5 years, then destroy.		09/10/2007; 06/26/1986



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250-10	820-0182	Hearing Files	Hearing officer reports and recommendations, notices, orders and transcripts. The hearing officer conducts administrative hearings including agent license revocations, Ohio Fair Plan and rule hearings. Includes miscellaneous documents related to the hearing. (Paper/Electronic)	Retain 10 years, then destroy.		09/10/2007; 09/03/1992
250-11	820-0315	Bulletins - Public Files	Signed originals or final copies of bulletins issued by the Department pertaining to its position on industry practices and on interpretation of insurance laws and regarding notification of the Department's procedures. (Paper/Electronic)	In office permanently.	Provides historical information.	07/21/2009, 04/20/1992
250-12	820-0828	Bulletins - Research Files	Attorney research information compiled in the process of developing a bulletin, including attorney-client communication and attorney work product. (Paper/Electronic) CONFIDENTIAL	In office until bulletin is rescinded, then destroy file. For a "rescission only" bulletin, retain file 1 year after the bulletin is issued, then destroy file.		07/21/2009
250-13	820-0829	Administrative Rules - Public Files	File includes a copy of the final rule, transcripts of public hearings and other related public documents. (Paper/Electronic)	In office until rule is rescinded, then destroy file. If more than two revisions occur to an active rule, destroy the public files prior to the last 2 revisions.		07/21/2009



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250-14	820-0830	Administrative Rules - Research Files	Attorney research information compiled in the process of developing a rule, including attorney-client communication and attorney work product. (Paper/Electronic) CONFIDENTIAL	In office until rule is rescinded, then destroy file. If more than two revisions occur to an active rule, destroy the research files prior to the last 2 revisions.	07/21/2009
250-23	820-0570	Record Subpoenas and Responses	Subpoenas served on the Department for records production. May include fee invoicing information. (Paper/Electronic)	In office until audited and audit report released; then destroy.	10/11/2002
250-24	820-0811	Company Records Production & Inventory Logs	Documents generated by the Department regarding a company in rehabilitation or other companies involving complete records collections for litigation purposes. Includes a detailed list and privilege logs. (Paper/Electronic) [See Attorney General before destroying.]	Retain 1 year after the liquidation estate/case is settled and no pending litigation against the Department exists; then destroy.	09/10/2007; 10/26/2005
250-26	18200583	Agent Contract Termination Appeals Investigations	Investigations into probable cause for agent contract termination appeal hearing requests pursuant to Sec. 3905.50. (Paper/Electronic) CONFIDENTIAL INFORMATION (SHRED)	In office 2 yrs after the close of investigation or a finding of probable cause w/ transfer to the hearing schedule; then destroy	01/24/2002



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250-29		Paper/Electronic Journal	Paper originals and electronic indexing and imaging database containing copies of the official actions (notices, orders, etc.) taken by the Department of Insurance. [Does not include most continuing education (CE) actions regarding agents.] (Paper/Electronic)	In office permanent. ***Contains Vital Information.	12/15/2004
250-34	820-0589	OIT Consultant Files	OIT project logs, copies of P.O.'s, security audit reports budget, Op's chart, software application documentation, and personnel records. (Paper/Electronic)	On-site 5 years; then destroy.	09/01/2004
250-36	820-0597	Inspector General Inquiries	Investigations by the Inspector General pertaining to the Department. (Paper/Electronic)	In office 1 year after file closed; if litigation involved, in office until all possible litigation is exhausted; then destroy.	09/30/2004
250-38	820-0601	Constituent Inquiries	Inquiries from Constituents sent to Legal requiring response, including responses provided. (Paper/Electronic)	In office 2 years from date of completion; then destroy.	11/15/2004
280-02	820-0413	OSHIIP County Activity Files	County information regarding sites and contact persons; activity, training, etc. (Paper/Electronic)	In office until superseded; then destroy.	03/20/1997



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280-03	182006-00	Volunteer Files	All documents related to a volunteer, including volunteer applications, references, agreement forms, training and certificates, unique ids (federal requirements), volunteer demographic tracking and status. (Paper/Electronic)	Retain hard copy until imaged or entered into database, then destroy. Retain image/database 3 years after inactive, then shred/erase.	SHIP per 45 CFR ss92.42.	04/19/2012; 10/29/2002
280-04	182006-01	Training Manuals	OSHIIP training manuals used by employees/volunteers. (Paper/Electronic)	Retain 3 years after notification of award closeout, then destroy.	SHIP per 45 CFR ss92.42.	04/19/2012; 10/29/2002
280-05	182006-02	Biographies	Personal information on regarding the training and background of each trainer. (Paper/Electronic)	In office until superseded; then destroy.		10/29/2002
280-08	682000-36	Client Contact Forms/Lists	Training/Counseling forms for volunteers entered and submitted on a quarterly basis through the National Performance Reporting (NPR) system. Part of SHIP grant files. (Paper/Electronic)	Retain 3 years after notification of SHIP award closeout, then erase.	SHIP per 45 C.F.R. ss92.42	05/15/2012; 10/29/2002
280-09	182006-05	PAM (Public and Media Activity Forms)	Lists of activities showing how many publications distributed, how many people spoke to, etc. that is entered and submitted on a quarterly basis through the National Performance Reporting (NPR) system. Part of SHIP grant files. (Paper/Electronic)	Retain 3 years after notification of SHIP award closeout, then erase.	SHIP per 45 C.F.R. ss92.42	05/15/2012; 03/18/2008; 10/29/2002



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280-12	820-0785	Grant Files	All records pertaining to the SHIP (State Health Insurance Assistance Program) grant. Including National Performance Reporting (NPR) data. (Paper/Electronic)	Retain 3 years after notification of award closeout, then shred.	SHIP per 45 CFR ss92.42.	04/19/2012; 09/11/2007
310-01	820-0354	Prompt Pay Complaints	Provider complaints against third party payers in violation of ORC 3901.38. (Paper/Electronic)	Current & previous year (1 year); then destroy.		02/09/1995
310-02	Pe820-0355	Examination Reports	Reports on findings which support the workpapers of an insurance exam of a company's compliance. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 10 years, then destroy.	History of exam regarding company. Need reports for future exams.	revision pending 12/11/2007; 02/09/1995
310-03	820-0356	Company Files	Info regarding compliance, change of officers and newspaper clippings regarding companies. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 2 years, then destroy.		12/11/2007; 02/09/1995
310-04	820-0816	Examination Workpapers	Examiner's workpapers on an insurance exam of a company's compliance. (Electronic)	Retain electronic records 5 years after exam closed, then destroy.	Confidential ORC 3901.48(C)	12/11/2007
310-05	820-0407	Annual Statement Filings	Annual statement filings returned by insurance companies. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 5 years, then destroy.		12/11/2007; 02/26/1997
310-06	820-0408	Penalty Filings	Information filed by insurance companies to inform the Ohio Department of Insurance if the companies have been fined or penalized by other state. Filings required by law. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 5 years, then destroy.		01/07/2008; 01/19/2007; 02/26/1997



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310-10	820-0817	Company Grievance Reports	Reports filed by companies, licensed in Ohio filed annually, required by the Social Security Act for Medicare Supplements. 3901-1-41 (J)(11)(f) (Electronic/Paper)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 5 years, then destroy.	12/11/2007; 10/12/2005
320-02	820-0359	Employee Performance Step Date Roster	Employee rating roster including performance evaluation. (Paper/Electronic)	Retain 1 year, then destroy.	09/10/07; 05/20/2003
320-03	820-0814	Direct Deposit Slip	Form completed for employee to receive their paycheck by direct deposit.	Retain for 3 pay periods, then shred.	12/21/2007
320-14	820-0371	Internal Complaints	Internal employee complaints. (Paper/Electronic)	In office 2 years after resolved; on-site 3 years; then destroy.	02/06/1997
320-18	820-0375	Orientation	Scripts, topics, and notes for internal employee orientations. (Paper/Electronic)	In office until superseded; then destroy.	02/06/1997
320-20	820-0573	Security Back-Up	Access Security System back-up. (Electronic)	Retain 2 months, then erase.	09/10/07; 05/19/2005
320-22	820-0574	Security Reports	Access Security System alarm reports and fire alarm reports. (Paper/Electronic)	Retain 2 years, then destroy.	09/10/07; 07/01/2005
320-23	820-0416	Security Issues	Proposals to provide for future security measures such as video cameras, ID cards and bar code readers for employees. Such measures would be implemented upon building renovation completion. Includes brochures and other information on equipment requirements. (Paper/Electronic)	Retain 3 years, then destroy	09/10/07; 04/21/2005



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320-24	820-0381	Service Pin Report	Report indicating employees due to receive service pins, including notes, emails and memos. (Paper/Electronic)	In office 5 years; then destroy.		05/20/2003
320-25	820-0450	Renovation Project Specifications	Specifications required by the Department and ABSI electrical contractor for the building renovation. (Paper/Electronic)	Retain 2 years after renovation complete, then destroy.		09/10/07; 04/27/2005
320-44	820-0617	Sexual Harassment & EEO Training	Notes, emails, policies, and procedures for sexual harassment and EEO (Equal Employment Opportunity) training. (Paper/Electronic)	In office until superseded; then destroy.		01/07/2003
320-45	18200585	Wripac Job Analysis	Analysis of job descriptions within the Department. Includes interviews and rating sheets. (Paper/Electronic)	Retain until superseded or no longer of administrative value, then destroy.		09/10/07; 10/28/2002
320-51	18200578	Staffing Report	Weekly report that lists vacant job positions in the department. (Paper/Electronic)	In office until superseded; then destroy.		12/15/2004
320-55	68200028	Employee Health Care Enrollment	Information regarding which plans each employee has enrolled for. (Paper/Electronic)	Retain 7 years after employee termination, then destroy.	Kept in the employee personnel file.	09/10/07; 05/20/2003
340-81	18200569	Voicemail/Auto Attendant Info	Information and scripts for auto attendant and voicemail for all departments. (Paper/Electronic)	Retain until superseded, then destroy.		1/16/2003
400-01	820-0550	Attendance Records	Copies of timesheets, leave requests, etc. (Paper/Electronic)	Retain 6 months, then destroy. (Originals in HR)		09/11/2007
400-02	820-0694	Research Files	Notes, memos, and emails for various research projects. (Paper/Electronic)	Retain 1 year, then destroy.		09/11/2007



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400-03	820-0613	Goals, Objectives, & Evaluations for Employees	Copies of notes, memos, and emails regarding goals, objectives, and evaluations of employees. (Paper/Electronic)	In office 1 year; then destroy. (Originals in HR)	09/11/2007
400-04	820-0568	Public Records Requests & Responses	Requests made to the Department by the public for access to, or copies of, the Departments public records. May include fee invoicing information. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/11/2007
400-05	x	Employee Training/Education	Files regarding employee training, activities, education and department organization. (Paper/Electronic)	Retain 1 year, then destroy.	09/11/2007
400-06	X	Department Task Force	Notes, articles, reports, bulletins, and recommendations from a Task Force. (Paper/Electronic)	Retain 5 years, then destroy.	09/11/2007
400-07	820-0385	Divisional Goals, Objectives, & Accomplishments	Divisional short and long range goals, objectives, and accomplishments. (Paper/Electronic)	Retain 1 year, then destroy.	09/11/2007
400-08	18200559	CAT Plans	Evacuation plans of the building in the event of an emergency. Includes flue epidemic, disaster recovery, etc. (Paper/Electronic)	Retain until superseded, replaced, or obsolete, then destroy.	09/11/2007



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400-09	820-0351	NAIC Records	This professional organization (National Assoc. of Insurance Commission) monitors all activities of insurance companies nationally, as represented through each state's insurance department. Committee reports and proposed model laws from NAIC. Notes, drafts, emails, proposals, minutes, surveys, etc. (Paper/Electronic)	Retain 2 years, then destroy.	09/11/2007
400-10	182005-97	Survey/Questionnaires	Questionnaires and surveys produced by the agency. Includes notes, memos, and/or emails. (Paper/Electronic)	Retain 1 year, then destroy.	09/11/2007
400-11	820-0201	Agency Projects	Information regarding projects, drives, and fund raising by the Department. Includes Employee of the Quarter, State/County Fair, etc. (Paper/Electronic)	Retain 2 years, then destroy.	09/11/2007
400-12	182005-80	Travel Itineraries	Notes, memos, emails regarding travel arrangements, airline, hotel and calendars of staff. (Paper/Electronic)	Retain during current administration, then destroy.	09/11/2007
400-14	820-0195	Chief's Administrative File	Assignments, notes, records related to division's day-to-day operations. (Paper/Electronic)	Retain 2 years, then destroy.	09/11/2007
400-15	820-0836	Logs Accessing CPI	Per O.R.C. 1347.15, requires recording of specific access by state agency employees to confidential personal information (CPI). (Electronic)	Retain 1 year, then erase.	04/07/2010



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GAR- 820- BLM- 0819 01	Lease Records of Lands or Buildings	(Paper/Electronic)	Fulfill the requirements of ORC 117.49. Retain 2 years after expiration of lease, then destroy.	04/21/2008
GAR- 820- BLM- 0772 02	Maintenanc e & Repair of Building	(Paper/Electronic)	Retain 2 years, then destroy.	12/17/2009; 09/13/2007
GAR- 820- C-01 0813	All Bidding Documents, RFP's, RFQ's or Similar Documents	(Purchasing, construction, personnel services) (Paper/Electronic)	For sale of goods, retain 5 years, then destroy. For services, retain 16 years, then destroy.	01/07/2008
GAR- 820- C-02 0622	Vender Master Input Document	Used to establish descriptive information about a vendor or update previously entered vendor data. (Paper/Electronic)	In office until audited and report released; then destroy.	05/20/2003
GAR- 820- C-03 0806	Contract Encumbran ces, Procuremen ts, Complaints to Vendors, & Related Contract Documents	(Paper/Electronic)	For sale of goods, retain 5 years, then destroy. For services, retain 16 years, then destroy.	09/10/2007
GAR- 820- CM- 0165 01	Correspond ence, Executive	Correspondence of the head of an agency dealing with significant aspects of the administration of their offices. Correspondence includes information concerning agency policies, procedures, program, fiscal and personnel matters. (Paper/Electronic)	Retain 2 years; then transfer to State Archives.	06/01/2007; 06/21/2005



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GAR- 820- CM- 0760 02	Correspondence, General	Includes internal correspondence (letters, memos); also, correspondence from various individuals, companies, and organizations requesting information pertaining to agency and legal interpretations and other miscellaneous inquiries. This correspondence is informative (it does not attempt to influence agency policy). (Paper/Electronic)	Retain 6 months, then destroy.	09/11/2007
GAR- 820- CM- 0771 03	Correspondence, Routine	Referral letters, requests for routine information or publications provided to the public by an agency which are answered by standard form letters. (Paper/Electronic)	Retain 6 months, then destroy.	09/11/2007
GAR- 820- CM- 0761 04	Lists/Directories	Includes mailing list, directories, rosters, and registers compiled by an agency. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.	09/11/2007
GAR- 820- CM- 0762 05	Transient Documents	Includes telephone messages, text messages, post-it-notes, drafts, and other limited documents which serve to convey information of temporary importance in lieu of oral communication. (Paper/Electronic)	Retain until no longer of administrative value; then destroy.	09/11/2007; 11/01/2011
GAR- 820- LL-02 0329	Legislation	Copies of state and federal legislation of interest to an agency. (Paper/Electronic)	Retain until no longer of use, then destroy.	09/14/2007; 06/21/2005



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GAR- 820- LL-04 0016	Claims & Litigation Records	Documents regarding lawsuits the Department of Insurance is involved in. (Paper/Electronic)	Retain 2 years after case is closed and no further appeals can be filed; then destroy. If case is dismissed without prejudice, retain 1 year after statute of limitations runs; then destroy.	07/01/2005
GAR- 820- OES- 0799 01	Office Equipment Service Request	Used to request installation or modification of any equipment or service provided by telephone, computer, copier companies, etc. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/10/2007
GAR- 820- OES- 0775 02	Equipment Inventory & Assignment Sheets	Original computer printout, instructions and work sheets used to complete equipment inventory reports for pagers, laptops, cellular phones, etc. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007
GAR- 820- OES- 0321 04	Direct Purchase Orders, Requisitions & Other Documents Related to Purchase of Goods or Services	Direct Purchase Orders, Requisitions & Other Documents Related to Purchase of Goods or Services. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/15/2007; 05/20/2003
GAR- 682000 OES- 20 05	Intra-State Transfer Vouchers	Authorizes payment to another state agency for goods and/or services received and serves as the basis for disbursing funds. (Paper/Electronic)	In office until audited and report released; then destroy.	06/22/2005



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GAR- 820- OES- 0776 06	Invoices (Accounts Payable Invoices)	Bill for goods shipped or services rendered. They are matched with purchase orders and receiving reports, and attached to vouchers for payment. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007
GAR- 820- OES- 0777 09	Postal Records, Registered Mail, Insured Mail Logs, & Metered Records	(Paper/Electronic)	Retain 1 year, then destroy.	09/14/2007
GAR- 820- OES- 0778 10	Postal Reports, Stamp Requisitions	(Paper/Electronic)	Retain 1 year, then destroy.	09/14/2007
GAR- 820- OES- 0779 11	Release for Abandoned Property	Used for the salvage of equipment or property of the State of Ohio. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007
GAR- 820- OES- 0545 12	Print Orders	Form to submit specifications for a printing job to State Printing and to encumber the dollars needed for the job. (Paper/Electronic)	In office until audited and report released; then destroy.	06/22/2005
GAR- 820- PP- 0763 01	Directives, Manuals & Handbooks	Publications produced by an agency detailing operations, regulations, and/or procedures of an agency. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then transfer to State Archives for their possible retention or destruction.	09/11/2007
GAR- 820- PP- 0764 02	Department al Policies & Procedures	Includes published reports, unpublished substantive reports and policy studies. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then transfer to State Archives for their possible retention or destruction.	09/11/2007



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GAR- 820- PP- 0612 03	Executive Orders and Proclamatio ns	Instructions issued by the Governor as the Chief Executive of State Government (Original on file permanently with Secretary of State). (Paper/Electronic)	In office until superseded; then destroy.	03/10/2005
GAR- 820- PP- 0529 04	Managemen t & Operations Reports	Reports created by state agency staff or outside consultants concerning management or operations of a state agency. (Paper/Electronic)	In office until audited and report released; then review by State Archives prior to disposal.	07/01/2005
GAR- 820- RPM- 0035 01	Annual Reports	Also includes other published periodic reports on agency activities. (Paper/Electronic)	Upon publication, fulfill requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.	06/01/2007
GAR- 820- RPM- 0642 01	Annual Reports	Also includes other published periodic reports on agency activities. (Paper/Electronic)	Upon publication, fulfill the requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.	12/14/2004
GAR- 820- RPM- 0841 02	Publications , State	Printed matter published by state agencies for distribution to the public. (Paper/Electronic)	Upon publication, fulfill the requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.	03/14/2012
GAR- 820- RPM- 0757 02	Publications , State	Printed matter published by state agencies for distribution to the public. (Paper/Electronic)	Upon publication, fulfill the requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.	06/11/2007
GAR- 820- RPM- 0765 03	Speeches	Printed or recorded copies of public speeches given by representatives of state agencies. (Paper/Electronic)	Retain until no longer of administrative value, then transfer to State Archives for their possible retention or destruction.	09/11/2007



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GAR- 820- RPM- 0756 04	Newspaper Releases/News Bulletins	Includes news/press releases and bulletins issued by an agency. (Paper/Electronic)	In office until no longer of administrative value; then transfer to State Archives.	06/01/2007
GAR- 820- RPM- 0766 07	Monthly & Weekly Reports	Documents status of on-going projects and issues; advises supervisors of various events and issues. (Paper/Electronic)	Retain 1 year, then destroy.	09/11/2007
GAR- 820- RPM- 0767 08	Minutes of Agency Staff Meetings	Minutes and supporting records documenting internal policy decisions. (Paper/Electronic)	Retain 2 years, then transfer to State Archives for their possible retention or destruction.	09/11/2007
GAR- 820- RPM- 0768 09	Minutes of Official Public Meetings	Official minutes, orders, and decisions of a state agency, commission, board, or council. (Paper/Electronic)	Retain 2 years, then transfer to State Archives for their possible retention or destruction.	09/11/2007
GAR- 820- RPM- 0787 10	Visitors' Log	Records documenting the entry and departure of employees and visitors into a State office building and/or after office hours. (Paper/Electronic)	Retain 1 years, then destroy.	09/10/07
GAR- 820- RR- 0534 01	Records Retention Schedule	A form used to identify the length of time a record must be retained before final disposition. (Paper/Electronic)	Retain until superseded by a revised retention schedule, or until record series is no longer maintained; then destroy.	03/25/2005
GAR- 820- RR- 0808 02	Records Inventory & Analysis Worksheet	Used for conducting an inventory of an agency's record series. Requests vital information to be used in determining the retention period and disposition of a record. (Paper/Electronic)	Retain until superseded by an updated inventory or until record series is no longer created, then destroy.	09/10/2007



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GAR- RR- 04	820- 0526	Certificate of Records Disposal	Form used to certify the destruction or transfer of records according to an approved records retention schedule. (Paper/Electronic)	In office 2 years; then destroy.	03/25/2005
GAR- VT-02	820- 0784	Travel Expense Report	Used for claiming reimbursement for in- state and out of state travel. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007; 03/17/2005
GAR- VT-03	820- 0780	Vehicle Operations File	Includes service records, compilation sheets, operation maintenance reports of licensed vehicles, warranty and guaranty statements, operating manual, reports and shop-work orders, accident reports, repair records, milage and usage logs, etc. (Paper/Electronic)	Retain during ownership of vehicle, then destroy.	09/14/2007
GF- BA- 07	820- 0322	Controlling Board General Requests	To request Controlling Board approval of emergency expenditures for Capital Improvement Projects, purchases made without competitive selection, and transfer of Capital Improvement Funds. (Paper/Electronic)	Retain 2 years, then destroy.	09/14/2007; 06/13/2005
GF- G-02	820- 0640	Federal Grant Files	All records concerning federal grants to state agencies which document the expenditure and use of federal monies. (Paper/Electronic)	Retain until state and federal audited and report released, then destroy.	09/14/2007; 05/07/2002
GF- M-01	820- 0773	Internal Audit Reports	Audit reports and work papers created by an agency's internal audit unit or similar functioning unit. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/13/2007



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GF- M-02	820- 0781	Federal or State Audit Reports	Copies of audit reports issued by the Auditor of State or federal government. (Paper/Electronic)	Retain 2 years, then destroy.	09/14/2007
GF- M-05	682000 25	Petty Cash Records	Petty cash records. (Paper/Electronic)	In office until audited and report released; then destroy.	06/22/2005
GF- M-07	820- 0782	Accounting Entity Description, Accounts Payable Ledger & Accounts Receivable Ledger	(Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007
GF- M-14	820- 0783	Revenue Receipts & Holding Account Redistributio n	Used to deposit and record revenue receipts from any known revenue source and to hold unknown receipts for redistribution. Also used by agencies which have established a departmental holdings fund from which revenue is redistributed or by any agency which receives revenue from an unknown source and deposits it to a fund using the revenue source hold. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/14/2007
GF- WV- 01	820- 0788	Application, Affidavit & Related Documents for Replacement Warrants Never Received, Lost, Stolen	(Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/10/07



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GF- WV- 03	820- 0789	Request for Stop, Release or Cancellation or Warrant	(Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/10/07
GF- WV- 04	820- 0066	Vouchers and Voucher Journals	Authorizes payment to vendor for goods and services. (Paper/Electronic)	Retain until state and federal audited and report released, then destroy.	09/14/2007; 12/03/2002
GF- WV- 05	820- 0774	Employee Tuition Reimburse ment Records	Log to track tuition from pre-approval stage through reimbursment for employee classes. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/13/2007
GP- M-02	820- 0790	Internal Investigatio ns	Employee investigations file. Includes EEO charges and responses. (Paper/Electronic)	Retain 3 years, then shred.	09/10/07
GP- M-03	820- 0800	Telephone Logs, Bills & Call Records	Listing of long distance calls made by agency personnel for a particular time period. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/10/2007
GP- M-04	820- 0791	Financial Disclosure Statement & Joint Legislative & Ethics Commission	(Paper/Electronic)	Retain 2 years, then destroy.	09/10/07
GP- M-06	820- 0731	Civil Rights & Title VII Files	Contains complaints and hearing information. (Paper/Electronic)	In office 7 years; then destroy.	08/01/2001



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GP- M-08	820- 0793	Accident, Health & Safety Records, Incident Reports, OSHA Reports, etc.	Reports, notes, emails, faxes, memos, and agendas regarding accidents and incidents at the department, and health and safety committe meetings. Manuals, CPR classes, and other related health and safety information. Policy and procedures involving security issues. (Paper/Electronic)	Retain 5 years, then destroy.	09/10/07
GP- O-01	820- 0794	Organizatio nal Charts	(Paper/Eletronic)	Retain until superseded, then destroy. The current chart will be audited by state.	09/10/07
GP- O-03	182005 70	Employee Personnel File	Position descriptions, applications, personnel actions, enrollment info, awards/thank you's, designations certificates, college transcripts, training attendance, acknowledgements, goals, objectives and performance reviews. (Paper/Electronic)	Retain 7 years after employee leaves employment, then transfer to DAS to keep permanently.	08/24/2005
GP- O-04	820- 0795	Hiring Materials	Vacancy postings and applications, resumes, civil service applications and interview questions from applicants not hired. (Paper/Electronic)	Retain 7 years after position filled or decision not to fill the position is made, then destroy.	09/10/07
GP- O-05	820- 0702	Employee FMLA, EAP, Disability & Workers Compensati on Records	Contains Family Medical Leave Act, Employee Assistance Program, Disability and Workers Compensation records. (Paper/Electronic)	Retain 7 years after employee separation; then destroy.	11/17/2005
GP- O-07	820- 0797	Employee Discipline & Grievance Records	(Paper/Electronic)	Retain 7 years after case is closed, then shred.	09/10/07



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GP- PAY- 01	820- 0721	Attendance Records	Timesheets, leave requests, etc. (Paper/Electronic)	Retain until audited by state and report released, then destroy.	09/10/07; 06/29/2005
GP- PAY- 02	820- 0798	Payroll Warrant Records & Payroll Disburseme nt Records	(Paper/Electronic)	Retain until audited by state and report released, then shred. If Federal funds are involved, retain according to appropriate Federal schedules.	09/10/07
IT- AS- 02	820- 0801	Help Desk Telephone Logs & Reports	Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. (Paper/Electronic)	Retain until no longer of administrative value, then destroy.	09/10/2007
IT- CS- 01	820- 0802	Network Usage Reports	Summary reports and other records created to document computer usage for reporting or other purposes. (Paper/Electronic)	Retain until no longer of administrative value to agency, then destroy.	09/10/2007
IT- OP- 06	820- 0804	System Backup Files	Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. (Paper/Electronic)	Retain for a minimum of 12 backup cycles, then destroy.	09/10/2007



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IT-SD-05	820-0805	Data Processing Procurement Files	Records used in the procurement of system hardware and software including request for proposals, proposals, quotations, and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line. (Paper/Electronic)	For sale of goods, retain 5 years, then destroy. For services, retain 16 years, then destroy.	09/10/2007
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