

**REQUEST FOR RECORDS RETENTION SCHEDULE**  
To be Submitted to the Records Management Division  
Hall of Records Commission

SCHEDULE NO. **38**

PAGE NO. **1**

*Am. Ins. Dept.  
5-1-54*

1. Requesting Agency

**STATE INSURANCE DEPARTMENT**

2. Division or Bureau of Requesting Agency

**LICENSING BUREAU**

3. Authorization Requested (Check only one of the squares below).

**A** Dispose of present accumulation. No additional accumulation is anticipated. Records have ceased to have value to warrant retention.

**B** Establish retention schedule for records for which there is a continuing accumulation. The records will cease to have value to warrant their retention after the period of time indicated.

**C** Microfilm and destroy originals. Originals if not microfilmed would be retained for the period of time indicated.

4. Item No.

5. Description of Records  
Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation of Hall of Records and Board of Public Works.

**1. EXAMINATIONS**  
Insurance agents are required to pass a written examination. The examination consists of 8 printed pages (8 1/2" x 11"). The grade received and the date of the examination is recorded on the applicant's history card (see Item 9). About 800 examinations are given annually. They are filed alphabetically and occupy 6 drawers (9 cubic feet) for the period 1949 to date. The annual rate of accumulation is 1 drawer (1 1/2 cubic feet). Three drawers (4 1/2 cubic feet) of material will be destroyed upon approval of this schedule.

**RECOMMENDATION: RETAIN FOR THREE YEARS AFTER DATE OF EXAMINATION AND THEN DESTROY.**

*Approved  
Hall of Records  
Commission*

**2. UNAUTHORIZED INSURANCE POLICY REGISTRATION**  
Form 130 (old number) or 47 (new number) 8 1/2" x 11", Description of Policy of Unauthorized Insurance is executed by insured or broker. The Department taxes policies issued to Maryland citizens by companies not licensed in Maryland; there are about 1,000 such policies annually. This form, which is required by Sec. 121 and 122, Art. 41A (1951 Code) is a record of the collection of the registration fee (\$1.00) and tax. The forms are filed in chronological order. The files for 1952 and 1953 occupy less than 1 drawer (1 cubic foot) in the office. Material for the years 1949 through 1951 occupies 1 1/2 cubic feet in the Department's supply room - total 2 1/2 cubic feet. There is little or no reference to these after collection of registration fee and taxes except for audit purposes. The annual rate of accumulation is very small. Approximately 1 cubic foot of material will be destroyed upon approval of this schedule. (Schedule approved by the Board of Public Works on February 2, 1952 is superseded by this request.)

**RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER**

*Approved  
Hall of Records  
Commission*

7. Agency, Division or Bureau Representative

*John A. Spang*  
Signature

Deputy Insurance Commissioner  
Title

March 4, 1954  
Date

Schedule Authorized as Indicated in Col. 6 by Hall of Records Commission.

Disposal Authorized as Indicated in Col. 6 by Board of Public Works.

3/5/54

Date

*Morris P. Radoff*  
Archivist

Archivist

MAR 8 1954

Date

*John A. Spang*  
Secretary

Secretary

REQUEST FOR RECORDS RETENTION SCHEDULE  
(Continuation Sheet)

5. Description of Records

Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation of Hall of Records and Board of Public Works.

4. Item No.

IS LATER, AND THEN DESTROY.

3.

CERTIFICATES OF COMPLIANCE

This certificate, Form 11-B (old number) or 12 (new number) 7" x 8 1/2" is issued to companies at their request showing that they are licensed by the State. A fee of \$1.00 is charged for the certificate. The original is issued to the company and the carbon copy is retained by the Department. They are filed chronologically and occupy 18 linear inches (1/2 cubic foot) for the period 1951 to date. Annual rate of accumulation is 3 linear inches. This file is used for audit purposes. Approximately one half of the present accumulation (9 linear inches) will be destroyed upon approval of this schedule. (Schedule approved by the Board of Public Works on February 2, 1952 is superseded by this request.)

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

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4.

APPLICATIONS AND LICENSES - BROKERS AND BROKER'S SOLICITORS

The following forms are included in this file:

Old Form No.    New Form No.

8-2	20	(8 1/2" x 11") Resident Insurance Brokers License. (Carbon Copy)
8-aa	21	(9 1/2" x 10") Non-resident Insurance Brokers License. (Carbon Copy)
104	96	(8 1/2" x 11") Application for Resident Insurance Brokers License. (Original)
131	97	(8 1/2" x 11") Application for Non Resident Insurance Brokers License. (A two-page form) (Original)
105	98	(8 1/2" x 11") Application for a License as Insurance Broker's Solicitor. (Original)
18-a	22	(9 1/2" x 10") Broker's Solicitor License. (Carbon Copy)
91	66	(8 1/2" x 11") Bond.

The records are filed by type of license. The application, license and bond in each instance are stapled together and are filed numerically by license number. An alphabetical index to this file is maintained on 3" x 5" cards (see Item 5). The licenses and bonds are renewable annually. The file is used for audit purposes and to answer inquiries regarding licenses. The file occupies 4 drawers (6 cubic feet) for the current year and 12 drawers (18 cubic feet) for the period 1946 through 1952 - a total of 24 cubic feet. The present annual rate of accumulation is 2 drawers (3 cubic feet). Approximately 9 cubic feet of material will be destroyed upon approval of this schedule. (Schedule approved by the Board of Public Works on February 2, 1952 is superseded by this request.)

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APPROVED BY  
BOARD OF PUBLIC WORKS

Date... MAR... 8, 1954

*[Signature]*  
Secretary

REQUEST FOR RECORDS RETENTION SCHEDULE  
(Continuation Sheet)

5. Description of Records

Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation of Hall of Records and Board of Public Works.

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

5. INDEX TO BROKERS AND BROKER'S SOLICITORS LICENSES

This index is maintained on 3" x 5" cards and is filed alphabetically by name. The cards, first used in 1952, are ruled for eight years' entries; they indicate the name, address and the license number issued annually. (Prior to 1952, a separate index card was prepared annually for each license.) The accumulation is static and occupies 2 drawers for 1,300 licenses.

RECOMMENDATION: RETAIN FOR THREE YEARS AFTER LAST DATE OF LICENSE RENEWAL AND THEN DESTROY.

6. COMPANY LICENSES

The following items are included in this file:

<u>Old Form No.</u>	<u>New Form No.</u>	
59-B	91	(8½" x 11") Application for Company License. (Original)
1-B	19	(8" x 9½") Company License. (Carbon Copy)
1-C	18	(8" x 9½") Fraternal License. (Carbon Copy)

The application and the license indicate the type of insurance the company writes, date of license and license fee paid. The applications are filed alphabetically by name of company. Licenses are filed numerically by license number. This material is necessary for audit purposes. The applications and licenses occupy 5 drawers (7½ cubic feet) for the years 1948 to date. The rate of accumulation is 1 drawer per year (1½ cubic feet). Approximately 1 drawer (1½ cubic feet) of material will be destroyed upon approval of this schedule. (Schedule approved by the Board of Public Works on February 2, 1952 is superseded by this request.)

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

7. GENERAL AGENTS, AGENTS AND SOLICITORS APPLICATIONS - FIRE, CASUALTY AND LIFE INSURANCE

The following applications are included in this file:

<u>Old Form No.</u>	<u>New Form No.</u>	
92-C	92	(4" x 6") Application for General Agents License. (Original)
93-C	93	(4" x 6") Application for Agents License - Fire and Casualty. (Original)
94-C	94	(4" x 6") Application for Solicitors License. (Original)
111-C	95	(8½" x 11") Application for Agents

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BOARD OF PUBLIC WORKS  
Date: MAR 8 1954  
*[Signature]*  
Secretary

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Hall of Records  
Commission*



REQUEST FOR RECORDS RETENTION SCHEDULE  
(Continuation Sheet)

Hall of Records  
-Commission

4. Item No.	5. Description of Records Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.	6. Recommendation of Hall of Records and Board of Public Works.
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copy of the license is considered the record copy and the recommendation for this item applies to this copy only.

The inactive licenses for the Audit File occupy 35 cubic feet in the supply room for the years 1946 through 1952 while the active licenses for 1953 occupy 6 cubic feet - a total of 41 cubic feet. Upon approval of this schedule 23 cubic feet of material will be destroyed (not including non-record files).  
(Schedule approved by the Board of Public Works on February 2, 1952 is superseded by this request.)

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

9. MASTER HISTORY FILE OF AGENTS AND SOLICITORS

This file consists of a record on individual 4" x 6" cards for every person qualified to sell insurance in the State. Information shown on the card is name, address, by whom employed, date qualified and examination grades. This information is obtained from the examinations and applications for licenses. Once an individual is qualified as an agent or solicitor, he remains so for life unless his license is revoked by the Commissioner. The file is maintained alphabetically and occupies 3 double 4" x 6" drawers for the active file. Index cards of individuals who fail to renew their license are placed in an inactive file. If at some later date the individual makes application for renewal, his card is returned to the active file. The inactive file occupies 3 double 4" x 6" drawers. The active and inactive files occupy a total of 2 1/2 cubic feet. About 800 applicants are qualified each year, increasing the bulk of the file a few linear inches.

RECOMMENDATION: RETAIN IN ACTIVE FILE WHILE CURRENT AND FOR FIFTY YEARS IN THE INACTIVE FILE AND THEN DESTROY.

10. MISCELLANEOUS APPLICATIONS AND LICENSES

The Bureau issues the following licenses:

<u>Old Form No.</u>	<u>New Form No.</u>	
127	23	(8" x 10") Public Adjusters License (carbon copy).
128	25	(8 1/2" x 11") Dealer in Explosives License (carbon copy).
122	24	(8" x 9 1/2") Rating Bureau or Association License (carbon copy).
	26	(8 1/2" x 11") License to Manufacture Explosives (carbon copy).
Mimeographed Forms No Number		(8 1/2" x 11") Insurance Advisors License with bond attached (carbon copy).

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Hall of Records  
Commission

BOARD OF PUBLIC WORKS  
Date - MAR... 8 1954.

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(8 1/2" x 11") License to Solicit While Organizing (carbon copy).

The following forms are found in this file in addition to the above:

<u>Old Form No.</u>	<u>New Form No.</u>	
121	90	(8 1/2" x 11") Application for Public Adjusters License (original).
118	87	(8" x 11") Application for a License to Deal in Explosives (original).
117	86	(8" x 11") Application for a license to Manufacture Explosives (original).

The forms are filed together in alphabetical order by type of license. All of these licenses must be renewed annually with the exception of the Rating Bureau license which is renewed every three years. The file is used for audit purposes and to answer inquiries regarding licenses. The file for the years 1951 to date occupies 1/2 drawer (1 cubic foot). The annual accumulation is very small. There will be no immediate destruction of record material upon approval of this schedule.

(Schedule approved by the Board of Public Works on February 2, 1952 is superseded by this request.)

RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, AND THEN DESTROY.

11. CORRESPONDENCE - LICENSE AND APPLICATION - LICENSE BUREAU  
This correspondence (generally 8 1/2" x 11") is concerned with licenses and applications for licenses. It is with individuals and companies. The file is maintained alphabetically by name of company and occupies 1/2 drawers (6 cubic feet) for the period 1951 to date. The annual rate of accumulation is 2 cubic feet. There will be no immediate destruction of this material upon approval of this schedule.

RECOMMENDATION: RETAIN FOR THREE YEARS AFTER CREATION OR RECEIPT AND THEN DESTROY.

12. CORRESPONDENCE - EXAMINATIONS - LICENSE BUREAU  
The correspondence (generally 8 1/2" x 11") in this file deals solely with examinations for license as an insurance agent or solicitor. There is little reference to it after it has been filed. The material is filed alphabetically by name of respondent and occupies 1/2 drawers (6 cubic feet) for the period 1949 to date. The annual rate of accumulation is 1/2 drawer (1 cubic foot). An estimated 2 cubic feet of material will be destroyed upon approval of this schedule.

RECOMMENDATION: RETAIN FOR THREE YEARS AFTER CREATION OR RECEIPT AND THEN DESTROY.

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BOARD OF PUBLIC WORKS

Date MAR 8 1954

*[Signature]*  
Secretary

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