

DEPARTMENT OF INSURANCE

CATEGORICAL LIST OF RECORDS

The following is a general categorical listing of records controlled by the Department of Insurance. The list is intended to aid the public in obtaining access to the Department's public records. It is not intended to be a comprehensive listing of each specific record maintained by the Department. Each type of record is listed according to the Departmental division responsible for maintaining it.

Pursuant to the Freedom of Information Act [5 ILCS 140/1 et seq.] (FOIA), public records maintained by the Department will be made available to the public for inspection or copying upon submission of a written request, subject to certain specified conditions and restrictions. **Some documents or portions of documents are exempt from public disclosure pursuant to the FOIA, the Illinois Insurance Code [215 ILCS 5], the Illinois Administrative Code, or other statutes or regulations.** Additionally, the Department is authorized to charge \$1.00 per page for copying fees pursuant to Section 408(1)(t) of the Illinois Insurance Code [215 ILCS 5/408(1)(t)].

The requirements for FOIA request submissions are set forth in 2 Ill. Adm. Code 951.30(b):

(b) A request for access to any public record maintained by the Department other than the computer reports described in subsection (a) of this Section must be submitted in writing and addressed to the FOIA Officer, Department of Insurance, 320 West Washington Street, 4th Floor, Springfield, Illinois 62767-0001. Requests may also be submitted on FOIA request forms made available by the Department in print and on the Department's website. Every request must contain the following information:

1. The full name and address of the requesting party;
2. A description, including dates if applicable, that is reasonably sufficient to permit identification of the requested records by Department personnel without undue difficulty;
3. An indication of the requester's agreement to pay copying fees and certification fees if applicable, as set forth in Section 951.60 of this Part, for the requested copies or certifications; and
4. The request letter and envelope should be clearly marked "FREEDOM OF INFORMATION REQUEST" or "INFORMATION REQUEST".

The request form is available on the Department's Internet site: www.insurance.illinois.gov.

ADMINISTRATIVE SERVICES DIVISION

- Documents relating to internal staff support services
- Documents relating to maintenance of Department records
- Documents relating to companies and associates authorized to issue bail bond certificates in Illinois
- Tax related forms
- Department travel related personnel forms
- Expenditure forms
- Contract forms
- Documents pertaining to the payment of privilege and retaliatory taxes, fire marshal's tax and fees for the valuation of reserves
- Department examination expenditure documents
- Current contracts
- List of vendors
- Bidding specifications
- Public Information and Departmental Databases.
- General correspondence

CONSUMER MARKET DIVISION

- Department reports and publications, which include but are not limited to:
 - Company complaint ratios
 - Various insurance buyer's guides
 - Manuals: Flood Insurance, Emergency Services and Disaster Agency-Illinois Plan for Nuclear Accidents
 - Mine subsidence materials
 - Insurance Specialty Market Report
 - Dread Disease Study and Report
 - Premium comparisons for personal automobile and homeowners insurance
 - Various analytical reports regarding consumer complaints filed with the Department*
- Insurance policy forms and all related forms filed with the Department for use in Illinois
- HMO General Provider Contracts
- HMO General Benefit Contracts
- HMO General Medical Provider Contracts
- Preferred Provider Organization application and renewal forms*
- Guidelines for applying for an HMO certificate of authority*
- General advertising material used to market accident and health insurance in Illinois
- Advisory organization licensing documents*
- Illinois Automobile Insurance Plan documents
- Illinois FAIR Plan Association documents
- Documents relating to producers, public adjusters, premium finance companies and third party administrators:
 - Licensing documents

- Filed examination reports
- Revocation/suspension orders
- Filing orders concerning a filed examination report
- Stipulation and Consent orders
- Voluntary surrenders of Certificates of Authority
- General correspondence

EXECUTIVE STAFF

- Legislative related documents:
 - Introduced bills and amendments
 - Various legislative reports and digests
 - Department's final budget
- General subject files
- Department Publications:
 - Consumer oriented publications
 - Technical oriented publications
 - Department newsletter
- General correspondence

LEGAL DIVISION

- Administrative Hearing Officer Files
- Illinois Insurance Code [215 ILCS 5] and Related Statutes *
- Department Administrative Regulations
- General Insurance Related Subject files
- General correspondence
- Closed and current Freedom of Information Act requests
- Documents relating to insurance companies, HMO's, and fraternal benefit societies:
 - Filed examination reports
 - Revocation/Suspension orders
 - Filing orders concerning a filed examination report
 - Stipulation and consent orders
 - Voluntary surrenders of Certificates of Authority

FINANCIAL - CORPORATE REGULATORY DIVISION

- All Company organizational documents and amendments
- Company filing documents:
 - Annual and quarterly statements
 - CPA audit reports
- Final financial examination reports of companies
- Record Keeping Plan of Operations
- Unaffiliated Agency, Management and Service agreements

- Unaffiliated Reinsurance agreements
- Regulatory documents:
 - Revocation and suspension orders
 - Cease and Desist orders
 - Stipulation and Consent orders
 - Notices of Impairment and of Apparent Liability
- Group self insurers:
 - Organizational documents
 - Annual and quarterly statements
 - CPA audit reports
 - Service Company related documents
- Self-Insurance documents:
 - Licensing documents
 - Financial related documents
- Registered Risk Retention Group documents
- Inter Governmental Pools – CPA audit reports
- Foreign Registered Purchasing Group documents

PUBLIC EMPLOYEE PENSIONS DIVISION

- Annual Statements
- Reports of Examination (after they are finalized)
- Notices of Non-Compliance
- Director's Orders (following a hearing)
- Audit backup file (includes Village Financial Audits, board minutes, payroll and other data collected during the audit process – some items confidential)
- Biennial Public Pension Report to the Governor/State Legislature*
- Investment policies and Investment Advisor Contracts
- Independent Actuarial Valuation Reports
- DOI Actuarial Valuation Reports
- Opinion Letters and requests for opinions
- Servicer Certification Forms (Bank certifications to the pension funds that they are not engaged in predatory lending)
- Fund mailing lists (pre-created program)
- Actuarial Assumption Experience Study*

* Also available on the Department's website at www.insurance.illinois.gov.