

DEPARTMENT OF PUBLIC SAFETY

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

DEPARTMENT OF PUBLIC SAFETY

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

This schedule encompasses the following changes:

- A. The consolidation of the program records retention and disposition schedules for the former Departments of Correction, Crime Control and Public Safety, and Juvenile Justice and Delinquency Prevention.
- B. The removal of all items which were discontinued or whose functions and records were transferred prior to January 1, 2012. These items are listed on the *Items Deleted* attachment.

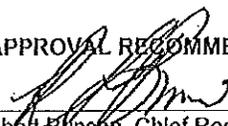
The Department of Public Safety and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. As part of its program operations the Department of Public Safety agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

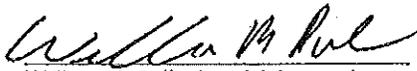
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any e-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records schedule. Public records including electronic records not listed in this schedule or in the General Schedule for State Agency Records are not authorized to be destroyed. The

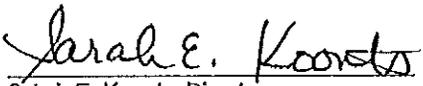
DEPARTMENT OF PUBLIC SAFETY

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

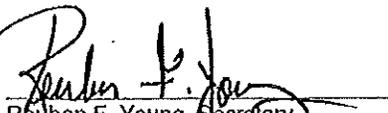
APPROVAL RECOMMENDED

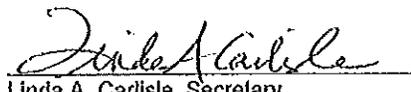

Robert Elington, Chief Records Officer
Department of Public Safety


William M. Polk, Special Counsel
Department of Public Safety


Sarah E. Koons, Director
Division of Archives and Records

APPROVED


Reuben F. Young, Secretary
Department of Public Safety


Linda A. Carlisle, Secretary
Department of Cultural Resources

DEPARTMENT OF CRIME CONTROL AND PUBLIC SAFETY
DIVISION OF EMERGENCY MANAGEMENT
RECOVERY SECTION

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

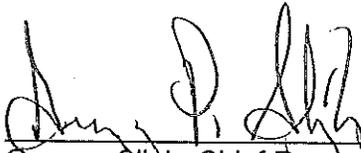
RECOVERY SECTION

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The**

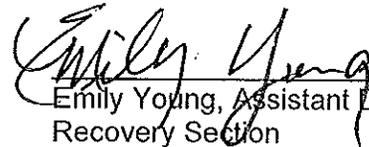
RECOVERY SECTION

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



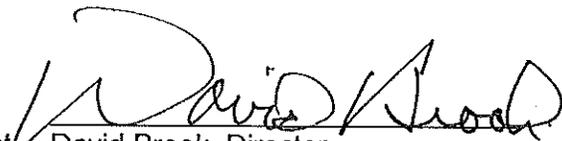
Gregory Sligh, Chief Records Officer
Department of Crime Control and Public Safety



Emily Young, Assistant Director
Recovery Section

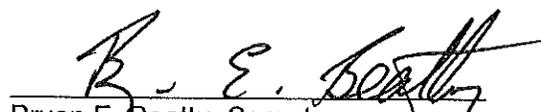


Doug Hoell, Director of Emergency Management
Division of Emergency Management

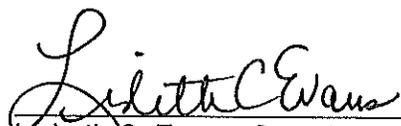


David Brook, Director
Division of Historical Resources

APPROVED



Bryan E. Beatty, Secretary
Department of Crime Control and Public Safety



Lisbeth C. Evans, Secretary
Department of Cultural Resources

This schedule was modified as part of the
creation of the Department of Public Safety.
Items discontinued or items whose functions
and records have transferred have been deleted.
Remaining items are effective January 1, 2012.

September 28, 2007

PDI

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

**DEPARTMENT OF PUBLIC SAFETY
DIVISION OF EMERGENCY MANAGEMENT
RECOVERY SECTION
PUBLIC ASSISTANCE DISASTER INFRASTRUCTURE SECTION**

Amend the program records retention and disposition schedule approved September 27, 2007, by changing the disposition instructions for the following items 9848 and 47972 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

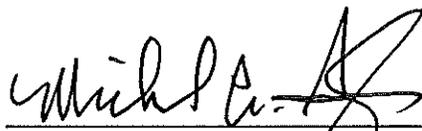
APPROVAL RECOMMENDED



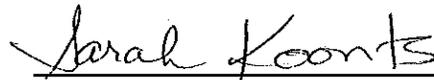
Robert Brinson, Chief Records Officer
Department of Public Safety



Joe Stanton, Assistant Director
Recovery Section
Division of Emergency Management



Michael A. Sprayberry, Director
Division of Emergency Management

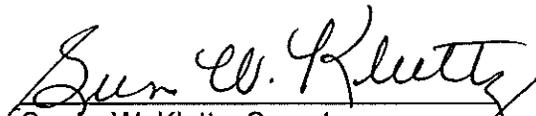


Sarah Koonts, Director
Division of Archives and Records

APPROVED



Frank L. Perry, Secretary
Department of Public Safety



Susan W. Kluttz, Secretary
Department of Cultural Resources

November 19, 2013

KAB

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

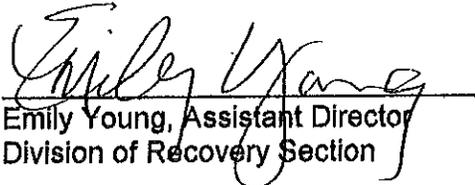
**DEPARTMENT OF CRIME CONTROL AND PUBLIC SAFETY
DIVISION OF EMERGENCY MANAGEMENT
INDIVIDUAL ASSISTANCE UNIT**

Amend the program records retention and disposition schedule approved September 28, 2007 by amending item 36571 as shown on the included schedule. No other items on this schedule have been amended, added, or removed.

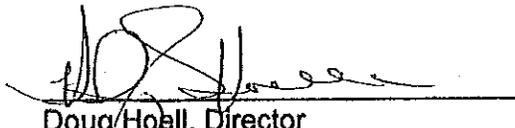
APPROVAL RECOMMENDED



Denise S. Goodwin, Chief Records Officer
Department of Crime Control and Public Safety



Emily Young, Assistant Director
Division of Recovery Section

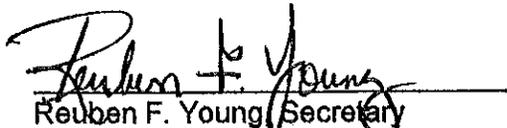


Doug Hoell, Director
Department of Emergency Management

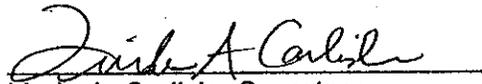


David Brook, Director
Division of Historical Resources

APPROVED



Reuben F. Young, Secretary
Department of Crime Control and Public Safety



Linda A. Carlisle, Secretary
Department of Cultural Resources

June 17, 2011

PDI

**DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
RECOVERY SECTION
INDIVIDUAL ASSISTANCE UNIT**

ITEM 36571. INDIVIDUAL DISASTER APPLICANTS FILE

Records in paper and electronic formats concerning disasters occurring in North Carolina. File includes correspondence regarding grants awarded to individuals, financial reports summarizing expenses, grant applications, and other related records. Data may include individual names, grants awarded and types of damage. Data is entered into North Carolina Disaster Applicant Management Program (NCDAMP) Database (Electronic) File (Item 48038). (File is arranged first by names of disaster and then by applicants' names.) (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Scan in office paper records. Transfer scanned and unscanned paper records to the State Records Center after reference value ends. Records will be held for agency in the State Records Center 5 years after close-out of state disaster or termination of contracts and then destroyed, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved. Destroy electronic records (duplicates of the paper records) for non-federal grants in office 3 years after close-out of state disaster and termination of contracts, if no litigation, claim, audit, or other official action involving the records has been initiated. Destroy electronic records for federal grants in office 5 years after close-out of state disaster and termination of contract, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

ITEM 37453. QUARTERLY FINANCIAL REPORTS (ON INDIVIDUALS) (ELECTRONIC) FILE

Quarterly reports in electronic format summarizing the amounts of financial funding provided to individual victims of disasters. Reports include names of disasters, dates of disasters, statistical summaries, and other related information. Data is entered into North Carolina Disaster Applicant Management Program (NCDAMP) Database File (Item 48038) from which the quarterly reports are produced.

DISPOSITION INSTRUCTIONS: Destroy electronic records for non-federal grants in office 3 years after close-out of state disaster and termination of contracts if no litigation, claim, audit, or other official action involving the records has been initiated. Destroy electronic records for federal grants in office 5 years after close-out of state disaster and termination of contracts, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office 3 years after completion of action and resolution of issues involved.

ITEM 48038. NORTH CAROLINA DISASTER APPLICANT MANAGEMENT PROGRAM (NCDAMP) (ELECTRONIC) DATABASE FILE

Records in electronic format concerning the financial funding provided to victims of disasters. Data is entered into this database from Individual Disaster Applicants File (Item 36571). File includes names of disasters, dates of disasters, applicants' name, grant financial funds awarded, grant funds distributed, financial notes, quarterly financial reports and other related financial records.

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy electronic records when reference value ends and if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues.

**DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
RECOVERY SECTION
HAZARD MITIGATION**

ITEM 36570. GRANTS (ADMINISTRATIVE) FILE

Records in paper or electronic formats concerning grants awarded to the branch regarding the hazard mitigation program. File includes agreements between the division, Federal Emergency Management Agency (FEMA), and local and state jurisdictions. File also includes correspondence regarding grant proposals and program development between applicants and FEMA, financial reports, proposal applications, index, and other related records. (File is arranged by identification number and name of disaster, and then by county and applicant's name.) (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center 3 years after close-out of disaster and if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer paper records after completion of action and resolution of issues involved. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer electronic records to the State Records Center 3 years after close-out of disaster and if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer electronic records after completion of action and resolution of issues involved. Electronic records will be transferred immediately to the custody of the State Archives. Contact the Electronic Records Unit prior to the transfer of any electronic records.

ITEM 37155. HAZARD MITIGATION PROGRAM STATUS AND FINANCIAL REPORTS FILE

Quarterly and year-end reports in paper and electronic formats concerning mitigation projects and grant awards. Reports include names of disasters, names of applicants, Federal Emergency Management Agency identification numbers, amounts of funds allocated, balance of funds to be allocated to applicants, narrative summaries of programs, and other related information. (Reports are routinely developed for submission to Council of State, General Council, and federal and state agencies.) (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center when administrative value ends. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Transfer electronic records to the State Records Center when administrative value ends. Electronic records will be transferred immediately to the custody of the State Archives. Contact the Electronic Records Unit prior to the transfer of any electronic records.

**DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
RECOVERY SECTION
PUBLIC ASSISTANCE DISASTER INFRASTRUCTURE SECTION**

ITEM 9848. DISASTER APPLICANTS FILE

Records in paper and electronic formats concerning disasters occurring in North Carolina. File includes correspondence, including e-mail, regarding grants awarded to and received from public entities, financial reports summarizing disaster expenses, reference copies of time sheets, reference copies of purchase orders and invoices, grant applications, and other related records. (File is arranged first by disaster name and then by public entity.) Data from file is entered into Public Assistance Disaster Applicant Database (Electronic) File (Item 47972). (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers.) Amended 11-19-2013.

DISPOSITION INSTRUCTIONS: Transfer paper records dated prior to October 2000 to the State Records Center 3 years after close-out of grants and termination of contracts if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center after completion of action and resolution of issues involved. Records will be held for agency in the State Records Center 5 additional years and then destroyed. Scan in office paper records dated after September 2000 into the Public Assistance Disaster Applicant Database (Electronic) File (Item 47972). Destroy in office paper copies of scanned records after all quality control procedures have been completed.

ITEM 37476. QUARTERLY FINANCIAL REPORTS FILE

Quarterly reports in paper and electronic formats summarizing the amounts of financial funding provided to victims of disasters. Reports include names of disasters, dates of disasters, statistical summaries, and other related information. Reports are created and printed from PAMS database. Reports are scanned in office into the Public Assistance Disaster Applicant Database (Electronic) File (Item 47972).

DISPOSITION INSTRUCTIONS: Destroy paper and electronic records created before October 1, 2000 in office 3 years after the entire disaster is closed. Scan paper records created after September 30, 2000 in office and enter into Public Assistance Disaster Applicant Database (Electronic) File (Item 47972). Destroy in office paper copies of scanned records after all quality control procedures have been completed.

ITEM 47972. PUBLIC ASSISTANCE DISASTER APPLICANT DATABASE (ELECTRONIC) FILE

Records in electronic format concerning public assistance grants for disasters and their management for North Carolina counties, cities, townships, and universities. File includes disaster names, applicant information, grant application, grant manager's notes, correspondence regarding grants awarded and received, appeal letters, project progress reports, and other related records. Database information is entered from Disaster Applicants File (Item 9848) and Quarterly Financial Reports File (Item 37476). (Comply with 5 U.S.C. 552a regarding confidentiality of social security numbers.) Amended 11-19-2013.

DISPOSITION INSTRUCTIONS: Destroy in office 8 years after close-out of grants and termination of contracts if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48016. PUBLIC ASSISTANCE MANAGEMENT SYSTEM (PAMS) DATABASE (ELECTRONIC) FILE

Records in electronic format concerning financial funding provided to victims of disasters. File includes names of disasters, dates of disasters, applicants name, grant financial fund awarded, financial funds distributed, financial notes, quarterly financial reports, and other related records.

DISPOSITION INSTRUCTIONS: Destroy electronic records when reference value ends and if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues: