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 Blinson, Chief Records Officer
Department of Public Safety

William M. Polk, Special Counsel
Department of Public Safety

Sarah E. Koonts, 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

NOV 1994
RECEIVED
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PURCHASING

Records Retention and Disposition Schedule

The 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

DIVISION OF EMERGENCY MANAGEMENT

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 machine readable records not listed in this schedule are not authorized to be destroyed.** The

DIVISION OF EMERGENCY MANAGEMENT

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

Rosemary Turner, Chief Records Officer
Department of Crime Control and Public Safety

Billy Ray Cameron
Division of Emergency Management

William S. Price, Jr., Director
Division of Archives and History

APPROVED

Thurman B. Hampton, Secretary
Department of Crime Control and Public Safety

NOV 1994
RECEIVED
CC & PS
PURCHASING

Betty Ray McCain, Secretary
Department of Cultural Resources

November 7, 1994

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.

This schedule was modified to comply with the provisions of the *General Schedule for State Agency Records*, effective October 1, 2000 Remaining items retain the original date shown below.

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DEPARTMENT OF CRIME CONTROL AND PUBLIC SAFETY
DIVISION OF EMERGENCY MANAGEMENT
INFORMATION AND PLANNING 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

INFORMATION AND PLANNING 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**

INFORMATION AND PLANNING 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 Crime Control and Public Safety

Gary Faltinowski, Assistant Director
Information and Planning 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.

June 22,2007

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DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
INFORMATION AND PLANNING SECTION
PLANNING SUPPORT BRANCH

ITEM 713. STATE EMERGENCY PLANS FILE.

State Emergency Plans designed to provide general planning guidance to state departments and local governments in natural disaster and nuclear war situations. File includes N.C. Emergency Operations Plan for War and N.C. Disaster Relief Assistance Plan.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 9818. COUNTY DECLARATION FILE.

Reference copies of local governments' declarations of states of emergency and the documentation establishing authority for local agencies' operations during emergencies.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 9837. LOCAL EMERGENCY PLANS FILE.

Reference copies of county and city emergency operation plans for war and disaster relief and assistance. These plans detail action to be taken by elements of local government in the event of nuclear war or natural disasters and assign responsibilities for the accomplishment of the specified tasks.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 9866. RADIOACTIVE MATERIALS FILE.

Records concerning licenses for radioactive materials obtained by the branch. File includes license for Cobalt 60 training source sets, license for instrument calibrators containing radioactive cesium (CS 137), lists of authorized users, custody receipts for Cobalt 60 training source sets, leak test results of Cobalt 60 and Cesium 137, authorized personnel exposure records (dosimetry reports), inventory listings of all radioactive material on loan to the state, and Radiological Defense (RADEF) radioactive materials inspection reports with updates.

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 2 years to be microfilmed for permanent storage in the security vault. Paper records will be returned to the agency after microfilming and all quality control procedures have been completed. Retain paper in office permanently.

ITEM 35917. TOXIC CHEMICAL RELEASE INVENTORY REPORT (SECTION 313) FILE.

Forms submitted to the State Emergency Response Commission inventorying hazardous substances which have been released into the environment. (File is maintained in accordance with the federal Superfund Amendments and Reauthorization Act (SARA) of 1986 (Public Law 99-499), Title III, Section 313. Comply with applicable provisions of SARA Title III, Section 322 regarding confidentiality of trade secrets.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 36567. PLANS (ELECTRONIC) FILE.

Statewide and local operation plans in electronic format developed and written by the division for use by the State Emergency Communications Committee and the Emergency Alert System.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 36568. PUBLIC EDUCATION (AWARENESS) FILE.

Records in paper and electronic formats concerning public education and awareness of technological and man made hazards. File includes literature received from the federal government and private sectors, presentations, audio and videotapes, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
INFORMATION AND PLANNING SECTION
PLANNING SUPPORT BRANCH

ITEM 36597. NUCLEAR AND RADIOLOGICAL EMERGENCY OPERATIONS PLANS FILE.

Emergency operation plans in paper and electronic formats used to respond to fixed nuclear facilities and radiological transportation accidents.

DISPOSITION INSTRUCTIONS: Destroy paper and electronic formats in office when superseded or obsolete.

ITEM 36598. RADIOLOGICAL EMERGENCY PREPAREDNESS EXERCISE FILE.

Records in paper and electronic formats concerning exercises conducted by the branch to test details of Emergency Planning Zone and Ingestion Pathway Zone. File includes exercise instructions, extent of play, criteria matrix, MS-1 scenarios, players list, and after-action reports.

DISPOSITION INSTRUCTIONS: Destroy in office Emergency Planning Zone exercise records after 6 years. Destroy in office Ingestion Pathway Zone exercise records when the next Ingestion Pathway exercise is conducted at a site.

ITEM 37466. FIXED NUCLEAR FACILITY EMERGENCY NOTIFICATION (FORM) FILE.

Completed EM78 forms concerning notifications of emergency situations at fixed nuclear power facilities in North Carolina. Forms include location of site, classification of emergency notification, description of emergency, condition of plant, status of reactor, magnitude of releases, estimates of projected offsite dosages, meteorological data, and other related data. Locations of sites, descriptions of emergencies, meteorological data, and other related information are entered into Operations Section, Communications Branch, Fixed Nuclear Facility Emergency Notification (FORM) (ELECTRONIC) File (Item 47974) immediately upon receipt.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 43176. HAZARDOUS MATERIALS EMERGENCY PREPAREDNESS (HMEP) GRANTS FILE.

Records in paper and electronic formats concerning monetary awards under the Hazardous Materials Emergency Preparedness program. File includes applications, memorandums of understanding (MOUs), final project reports and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 year(s) 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 43177. INVENTORY LIST (SECTION 311) FILE.

Correspondence notifying the State Emergency Response Commission of changes to chemical facilities' inventories of extremely hazardous substances. (File is maintained in accordance with the federal Superfund Amendments and Reauthorization Act (SARA) of 1986 (Public Law 99-499), Title III, Section 311. Comply with applicable provisions of SARA Title III, Section 322 regarding confidentiality of trade secrets.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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.

DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
INFORMATION AND PLANNING SECTION
PLANNING SUPPORT BRANCH

ITEM 43178. NOTIFICATION LETTERS (SECTIONS 302 AND 303) FILE.

Correspondence notifying the State Emergency Response Commission of the presence of hazardous substance(s) and emergency contact information. (File is maintained in accordance with the federal Superfund Amendments and Reauthorization Act (SARA) of 1986 (Public Law 99-499), Title III, Sections 302 and 303. Comply with applicable provisions of SARA Title III, Section 322 regarding confidentiality of trade secrets.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 43179. SPILL REPORTING (SECTION 304) FILE.

Correspondence notifying the State Emergency Response Commission of releases of hazardous substances. (File is maintained in accordance with the Superfund Amendments and Reauthorization Act (SARA) of 1986 (Public Law 99-499), Title III, Section 304. Comply with applicable provisions of SARA Title III, Section 322 regarding confidentiality of trade secrets.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 43180. TIER II INVENTORY FORMS (SECTION 312) FILE.

Correspondence notifying the State Emergency Response Commission of changes to chemical facilities' inventories of hazardous substances. Records includes weight threshold, location and site and other related information. (File is maintained in accordance with the federal Superfund Amendments and Reauthorization Act (SARA) of 1986 (Public Law 99-499), Title II, Section 312. Comply with applicable provisions of SARA Title III, Section 322 regarding confidentiality of trade secrets.) (Data from the correspondence will be entered into Inventory List (Section 312) Database (Electronic) File (Item 47957).

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) 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 47961. HISTORICAL RECORDS FILE.

Records in paper and electronic formats concerning disasters and management of disasters, historical information about the state's emergency management division, research papers and articles, and staff-prepared final reports.

DISPOSITION INSTRUCTIONS: Transfer paper and electronic records to the state records center State Records Center when reference value ends for immediate transfer to the custody of the Archives. Contact the Electronic Records Unit prior to the transfer of any electronic records.

ITEM 47963. NATURAL HAZARDS PROJECT PLANNING FILE.

Records in electronic format concerning the management and coordination of projects and plans for hazardous events. Types of hazards planned for include: hurricanes, droughts, floods, and tornados. File includes hazard plans, evacuation studies, reference documents, research papers, memorandums and summary documents.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 47964. INTERSTATE 40 (I40) REVERSAL PLAN FILE.

Records in electronic format of annual plans created jointly by the Department of Transportation, the Division of Emergency Management, and State Highway Patrol. The plans denote measures to be implemented as a part of emergency evacuation plans for reversing the lanes on I-40 in order to more quickly evacuate traffic from the coastal region around Wilmington.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
INFORMATION AND PLANNING SECTION
PLANNING SUPPORT BRANCH

ITEM 47965. REQUEST FOR FACILITY EMERGENCY MANAGEMENT PLANS.

Requests in paper and electronic formats by government agencies or Local Emergency Plan Commissions for risk management plans concerning facilities in North Carolina. File includes requests and risk management plans sent to requestors.

DISPOSITION INSTRUCTIONS: Destroy/erase in office paper and electronic records after 5 years 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 issues involved.

ITEM 47966. FACILITY SAFETY PRECAUTIONS FILE.

Records in paper and electronic formats concerning safety precautions or guidelines for improving emergency response processes to be followed by facility management staff. File includes brochures, pamphlets and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 3 years and when reference value ends.

ITEM 47967. CONTINUITY OF OPERATIONS (COOP) PLANNING FILE.

Records in electronic format concerning North Carolina state government's combined plans for continuing operations during an emergency. File includes COOP Steering Committee and State Emergency Response Team (SERT) meetings notes, presentations, Emergency Management's portion of the COOP plan, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 47968. NORTH CAROLINA OPERATIONS PLAN FILE.

Records in electronic format concerning guidelines and responsibilities of agencies on the State Emergency Response Team (SERT) in case of emergencies such as hurricanes, winter storms, and bioterrorism attacks. File includes reports and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 47975. INVENTORY LIST (SECTION 312) (ELECTRONIC) FILE.

Records in electronic format include weight threshold, location and site and other related information. Data is inputted from Inventory List (Section 312) File (Item 43180). (File is maintained in accordance with the federal Superfund Amendments and Reauthorization Act (SARA) of 1986 (Public Law 99-499), Title II, Section 312. Comply with applicable provisions of SARA Title III, Section 322 regarding confidentiality of trade secrets.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Erase electronic records after 3 years 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 after completion of action and resolution of issues involved.

ITEM 48181. COUNTY ASSESSMENTS FILE.

Records in paper and electronic formats written by the federal Department of Homeland Security assessors concerning county and city emergency operation plans for war and disaster relief and assistance. These assessments identify responsibilities, detailed action and various planning needs by elements of local government for homeland security activation reasons.

DISPOSITION INSTRUCTIONS: Transfer paper and electronic records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed.

DEPARTMENT OF PUBLIC SAFETY
CCPS - DIVISION OF EMERGENCY MANAGEMENT
MITIGATION SECTION
NATIONAL FLOOD INSURANCE PROGRAM BRANCH

ITEM 2518. COMMUNITY MAPS FILE.

Reference copies of maps used by the branch to assess flood damage and to determine if structures are in flood hazard areas and, if so, what appropriate construction standards are applicable. File includes flood insurance rate maps, floodway maps, flood hazard boundary maps, flood insurance studies, correspondence related to mapping issues, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 36573. COMMUNITY ASSISTANCE CONTACTS FILE.

Records concerning communities needing assistance from the division due to flood damage. File includes Community Assistance Contact Reports, follow-up letters, field notes, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 7 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 36574. COMMUNITY ASSISTANCE VISITS FILE.

Records concerning official visits to communities seeking federal assistance due to flooding. File includes field notes, correspondence, Community Assistance Visit Reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 7 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

DEPARTMENT OF PUBLIC SAFETY

CCPS - DIVISION OF EMERGENCY MANAGEMENT

PREPAREDNESS, OPERATIONS, AND RESPONSE SECTION

OPERATION SUPPORT BRANCH

FISCAL/FEDERAL EMERGENCY MANAGEMENT AGENCY-EMERGENCY MANAGEMENT ASSISTANCE (EMA) UNIT

ITEM 9816. ANNUAL SUBMISSION FILE.

Records concerning the distribution of federal funds (by federal fiscal year) to local jurisdictions throughout North Carolina. File includes Statements of Work, budgetary records, amendments, and the State Administrative Plan.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after date Final Financial Status Reports have been submitted to the Federal Emergency Management Agency (FEMA) Region IV office and when released from all audits, whichever occurs later. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.