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

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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 CORRECTION
DIVISION OF PRISONS
PROGRAM SERVICES
EDUCATIONAL SERVICES SECTION

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

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

EDUCATIONAL SERVICES 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

Robert Brinson, Chief Records Officer
Department of Correction

Jane D. Young, Ph.D., Director
Educational Services

Keith Hester, Chief
Program Services

James French, Director
Division of Prisons

Jeffrey J. Crow, Director
Division of Archives and History

APPROVED

Theodis Beck, Secretary
Department of Correction

Betty Ray McCain, 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.

August 16, 1999

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DEPARTMENT OF PUBLIC SAFETY
CORRECTION - DIVISION OF PRISONS
PROGRAM SERVICES
EDUCATIONAL SERVICES SECTION

ITEM 672. INMATE EDUCATIONAL FILE.

Records concerning inmates academic and vocational enrollment in school. Each folder includes correspondence, prior notices and consent forms, grades, and other related records. Inmates' names, dates of enrollment, grades, and other related data are entered into Inmate Educational Database (Electronic) File (Item 43194) and/or General Education Development (GED) Certificate Database (Electronic) File (Item 43192). (Educational Services personnel will prepare and arrange records for microfilming prior to boxing records for transfer to the State Records Center.) (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after inmate's release or parole to be microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault and a duplicate copy of microfilm will be sent to the agency for permanent retention.

ITEM 10345. OUTREACH CORRESPONDENCE COURSE ENROLLMENT FILE.

Listing of inmates enrolled in outreach correspondence courses. File also includes information about course approval.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 10346. EDUCATIONAL SERVICES ADMINISTRATIVE FILE.

Records concerning the administration and management for the section. File includes correspondence, mailing lists, various reports and studies, brochures, publications, staff itineraries, planning materials, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 10347. LIBRARY SUBJECT FILE.

Records concerning library operations. File includes reference copies of book orders, invoices, library service requests, library plans, monthly reports, publishers' catalogs, magazine orders for inmates, and other related subjects.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 10349. EXCEPTIONAL STUDENTS PROGRAM (ESP) OPERATIONAL FILE.

Records concerning exceptional students program operations. File includes correspondence, Title IV-B grants applications, end-of-year reports, budgetary records, federal regulations, contracts, and other related records. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 43183. COMMUNITY COLLEGES RECORDS FILE.

Records concerning the operation of education programs in conjunction with local community colleges and the NC Community College System. File includes reference copies of correspondence, legislative reports, notes of meeting, meeting minutes, applications for course approval, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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ITEM 43185. EDUCATIONAL PERSONNEL LICENSURE FILE.

Records concerning teachers' renewal credits. File includes correspondence, probationary contracts, career status letters, copies of licenses, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office upon issuance of new license or resignation of employee 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 43187. EXCEPTIONAL STUDENT PROGRAM (ESP) CHILDFIND DATABASE (ELECTRONIC) FILE.

Machine readable records concerning inmates involved in the Exceptional Students Program. Electronic file includes inmate's name, date of birth, Wide Range Achievement Test (WRAT) scores, dates of school attendance, school history comments, inmate's location, and other related data. File also includes backup records. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update monthly. Erase/destroy in office backup records when reference value ends. Destroy in office machine readable 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 resolution of issues involved.

ITEM 43188. EXCEPTIONAL STUDENTS PROGRAM (ESP) LITIGATION FILE.

Records concerning lawsuits filed by inmates regarding provision of exceptional students program services. File includes affidavits, depositions, correspondence, settlement agreements, inmate records, and other related records. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 43189. EXCEPTIONAL STUDENTS PROGRAM (ESP) STUDENT FILE.

Records concerning inmates from youth facilities enrolled in the exceptional student program. File includes ESP referral forms, evaluations, eligibility/exit documentation, progress reports, student grades, and other related records. Inmates' names, dates of enrollment, grades, and other related data are entered into Exceptional Students Program (ESP) Childfind Database (Electronic) File (Item 43187). (Educational Services personnel will prepare and arrange records for microfilming prior to boxing records for transfer to the State Records Center.) (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after inmate's release or parole to be microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault and a duplicate copy of microfilm will be sent to the agency for permanent retention.

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ITEM 43191. GENERAL EDUCATIONAL DEVELOPMENT (GED) CERTIFICATES FILE.

Reference copies of inmates' GED test scores and vocational certificates for inmates who do not have an inmate educational file or folder. (Inmates' names, dates of enrollment, test scores, and other related data are entered into General Education Development (GED) Certificate Database (Electronic) File (Item 43192).) (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 43192. GENERAL EDUCATIONAL DEVELOPMENT (GED) CERTIFICATE DATABASE (ELECTRONIC) FILE.

Machine readable records concerning inmates' GED test scores and certificates of completion. Electronic file includes inmates' names, GED test scores, type of certificates earned, dates of completion, and other related data. File also includes backup records. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update monthly. Erase/destroy in office backup records when reference value ends. Destroy in office machine readable 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 resolution of issues involved.

ITEM 43193. INITIAL LICENSURE PROGRAM FILE.

Records concerning initially licensed teachers. File includes performance appraisals, correspondence, documentation on teacher observations, biographical data sheets, and other related records. (Comply with applicable provision of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.) (File concerns teachers who have taught less than 4 years.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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 43194. INMATE EDUCATIONAL DATABASE (ELECTRONIC) FILE.

Machine readable records concerning inmate education. Electronic file includes inmates' names, grades, dates of school attendance, where attended, receipt of General Education Development (GED) and/or certificate, and other related data. File also includes backup records. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer backup records to an off-site location for backup storage and update monthly. Retain in office permanently.

ITEM 43195. INSTITUTIONAL LIBRARY GRANTS FILE.

Records concerning library grants awarded. File includes correspondence, revised grant budget sheets, Final Report for the Institutional Library Grant, Library Services Construction Act-Grant applications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 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.

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ITEM 43202. PSYCHOLOGICAL FILE.

Records concerning inmates' psychological evaluations. File includes psycho-educational evaluations received from psychologists, test protocols, case notes, and other related records. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years or when inmate is re-evaluated if no litigation, claim, audit, or other official action involving the records has been initiated. If official actions has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 43205. TITLE ONE MONTHLY ENROLLMENT FILE.

Listing of students enrolled in Title One services. File also includes date of enrollment.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years or when inmate is re-evaluated 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 43403. EXCEPTIONAL STUDENTS PROGRAM (ESP) INDEX FILE.

Indices of inmates enrolled in the Exceptional Students Program. (Comply with applicable provisions of G.S. 115C-402 and Federal Family Education Records Privacy Act (FERPA) regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 3 years after inmate's release or parole to be microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault and a duplicate copy of microfilm will be sent to the agency for permanent retention.