

DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH

Records Retention and Disposition Schedule

The Records Disposition Schedule and the 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 understood and agreed that the records of the

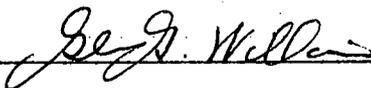
MANAGEMENT INFORMATION AND RESEARCH

do not and will not have further use or value for official use or 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 periods in this schedule and the

MANAGEMENT INFORMATION AND RESEARCH

agrees to dispose of or to transfer records as specified herein.

APPROVAL RECOMMENDED

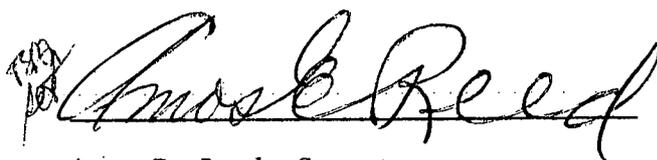


Glenn G. Williams, Director
Management Information and Research

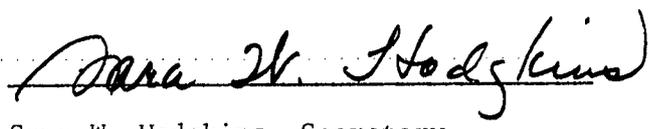


Larry E. Tise, Director
Division of Archives and History

APPROVED



Amos E. Reed, Secretary
Department of Correction



Sara W. Hodgkins, Secretary
Department of Cultural Resources

February 29, 1980

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
COMBINED RECORDS SECTION

Amend the records retention and disposition schedule approved February 29, 1980 by changing the disposition instructions for Item 10292 on substitute page dated July 10, 1997.

APPROVAL RECOMMENDED



Robert S. Brinson, Chief Records Officer
Department of Correction

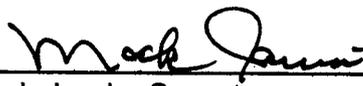


Dan Stieneke, Director
Division of Prisons



Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Mack Jarvis, Secretary
Department of Correction



Betty Ray McCain, Secretary
Department of Cultural Resources

July 10, 1997

MS

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
COMBINED RECORDS SECTION

Amend the records retention and disposition schedule approved February 29, 1980 by changing the disposition instructions for Item 4049 as shown on substitute page dated July 8, 1996.

APPROVAL RECOMMENDED



Robert S. Brinson, Chief Records Officer
Department of Correction

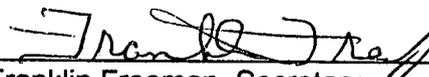


Robert S. Brinson
Chief Information Officer
Department of Correction

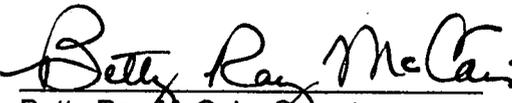


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Franklin Freeman, Secretary
Department of Correction



Betty Ray McCain, Secretary
Department of Cultural Resources

July 8, 1996

MS

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
COMBINED RECORDS SECTION

Amend the records retention and disposition schedule approved February 29, 1980 by changing the retention period of Item 632 and by adding Item 4049 as shown.

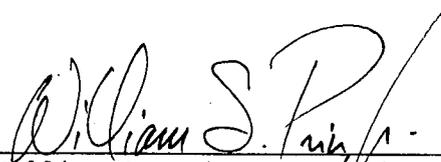
APPROVAL RECOMMENDED



Glen G. Williams, Chief Records Officer
Department of Correction



Glen G. Williams, Director
Management Information and Research

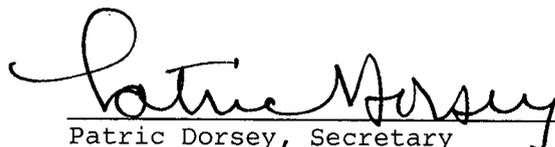


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Aaron J. Johnson, Secretary
Department of Correction



Patric Dorsey, Secretary
Department of Cultural Resources

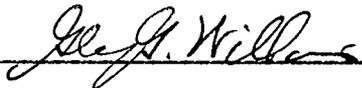
January 12, 1988

ATM

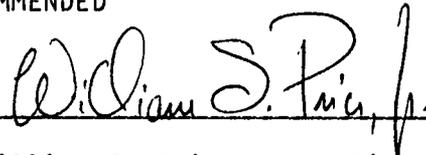
DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
DATA PROCESSING SECTION

Amend the records retention and disposition schedule approved February 29, 1980, by adding items 1, 2, 3, 4, and 5 as shown on substitute page 17a, dated November 30, 1981.

APPROVAL RECOMMENDED



Glenn C. Williams, Director
Management Information and Research

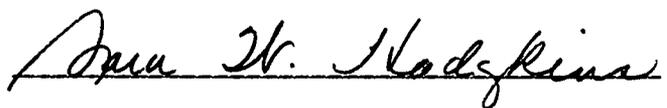


William S. Price, Jr., Director
Division of Archives and History

APPROVED



James O. Woodard, Secretary
Department of Correction



Sara W. Hodgkins, Secretary
Department of Cultural Resources

November 30, 1981

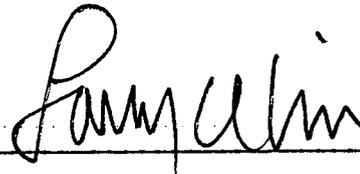
DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
RESEARCH AND PLANNING SECTION

Amend the records retention and disposition schedule approved February 29, 1980, by changing the retention period of item 9 as shown on substitute page 15, dated October 1, 1980.

APPROVAL RECOMMENDED

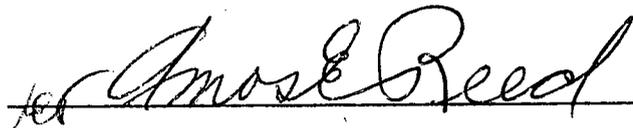


Glenn C. Williams, Director
Management Information and Research

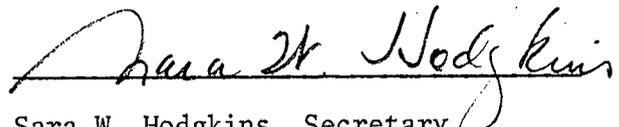


Larry E. Tise, Director
Division of Archives and History

APPROVED



Amos E. Reed, Secretary
Department of Correction



Sara W. Hodgkins, Secretary
Department of Cultural Resources

October 1, 1980

DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH

Records Retention and Disposition Schedule

The Records Disposition Schedule and the 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 understood and agreed that the records of the

MANAGEMENT INFORMATION AND RESEARCH

do not and will not have further use or value for official use or 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 periods in this schedule and the

MANAGEMENT INFORMATION AND RESEARCH

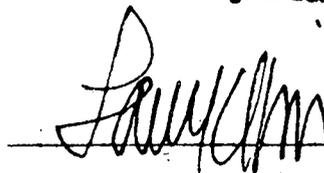
agrees to dispose of or to transfer records as specified herein.

**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.**

APPROVAL RECOMMENDED

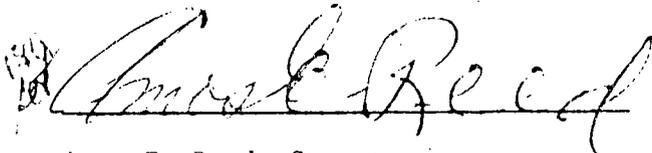


Glenn G. Williams, Director
Management Information and Research

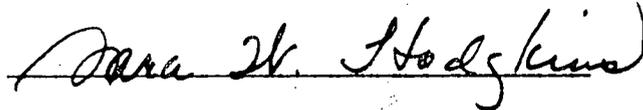


Larry E. Tise, Director
Division of Archives and History

APPROVED



Amos E. Reed, Secretary
Department of Correction



Sara W. Hodgkins, Secretary
Department of Cultural Resources

February 29, 1980

**DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
COMBINED RECORDS SECTION**

ITEM 632. COMBINED INMATES RECORDS FILE.

Official copies of the individual records of inmates who are serving or have served an active prison sentence under the Department of Correction. File includes all prison, parole, and probation information, history cards, legal information, Department of Correction forms related to inmate control, and all other pertinent information related to inmate history in the Department of Correction. (Comply with applicable provisions of G.S. 148-74, 148-76, and Gopal v. Bounds (1972) regarding confidentiality of individual inmates records.) Amended 8-25-03.

DISPOSITION INSTRUCTIONS: Transfer records for inmates released in 2000 to the State Records Center immediately. 2000 records will be held for agency in the State Records Center until 2010 and then destroyed. Transfer remaining records to the State Records Center 3 years after release of inmate. Records will be held for agency in the State Records Center 7 additional years and then destroyed.

ITEM 633. COMPUTERIZED POPULATION REPORTS FILE.

Official copies of daily computerized population report for all units and institutions within the Department of Correction. Contains previous day's total inmate population, admissions, captures, transfer, inmate custody grades, and inmate assignments at each unit and institution.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 1 year for microfilming, then destroy originals. Send use copy of microfilm to the agency and security copy to the Archives vault.

ITEM 10288. CONSOLIDATED INMATE RECORDS FILE.

Record copies of the individual records of all inmates who served an active prison sentence under the Department of Correction. Includes kardex history cards and commitment information, legal information, Department of Correction forms relating to inmate control, medical information, and other pertinent information relating to inmate history in the Department of Correction.

DISPOSITION INSTRUCTIONS: Series discontinued. Remove kardex history card from records currently stored in agency for microfilming. Microfilm kardex history card and destroy remainder. Send use copy of microfilm to the agency and security copies to the Archives vault.

ITEM 10292. UNIT INMATE MEDICAL RECORD FILE.

Official copies of medical information concerning inmates treated at units' hospitals. File includes reports of Medical History (Form DC-385), Profile Report (Form DC-134), outpatient and inpatient health records, x-ray sheets, medication record cards, operation permits, and other medical-related information. Amended 7-10-97

DISPOSITION INSTRUCTIONS: Function and records transferred to Division of Prisons, Central Prison, Medical Records Branch.

**DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
DATA PROCESSING SECTION
OPERATIONS**

ITEM 634. INMATE ACTIVE FILE, INMATE INACTIVE FILE, PROBATION MASTER FILE, ACCOUNTING SYSTEM FILE, AND SOURCE PROGRAMS FILE.

Record copies of the master files concerning all inmates in or out of the correctional system, active and inactive clients on probation, accounting masters, and all source programs.

DISPOSITION INSTRUCTIONS: Transfer one security copy of electronic data processing record (magnetic tape/disk, etc.) to the State Records Center for backup storage. Agency representative will update periodically. Destroy/erase returned records in office as approved by current records retention and disposition schedules.

**DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
DATA PROCESSING SECTION
SYSTEMS AND PROGRAMMING**

ITEM 10272. COMPUTER PROGRAMS FILE.

Record copies of the Department of Correction computer programs written in the Assembler Language and COBOL Language. Arranged by program number and by system.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

ITEM 10273. CORRESPONDENCE FILE.

Record copies of correspondence of the Data Processing Section. Arranged alphabetically by name.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

**DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
DIRECTOR'S OFFICE**

ITEM 10260. BURLINGTON MANAGEMENT SERVICES COMPANY FILE.

Record copies of descriptions of the Department of Correction data collection. Information provided concerns the flow, storage, and reporting of data, as well as decision processes. Arranged by function.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 10262. SUBJECTS FILE.

Record copies of subjects relating to the Department of Correction and its various divisions. Includes documents pertaining to community corrections, cost effectiveness, group homes, and demographics, vital statistics, North Carolina counties profiles, probation/parole information, mutual agreement paroles, and parole case analyses. Arranged alphabetically by subject.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends, but within 10 year(s).

ITEM 10263. DEPARTMENTS GRANTS FILE.

Reference copies of data concerning various departmental grants. Information provided concerns terminals for prisons, vocational training at North Carolina Correctional Center for Women, community treatment centers for male youths, and recreation development programs. Arranged chronologically then alphabetically by subject.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year(s) after termination of grant.

ITEM 10264. GRANT APPLICATIONS AND REQUIREMENTS FILE.

Reference copies of data concerning proposed grants and appropriate application procedures. Arranged alphabetically by subject.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

ITEM 10265. OFFICE GRANTS ADMINISTRATION FILE.

Reference copies of data concerning office grants or particular research projects for correctional research, determinants of criminal recidivism, and enhanced population models. Arranged alphabetically by subject or grant title.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 10266. OFFICE GRANTS RESULTS FILE.

Record copies of completed research and results for office grants for escapes, population model outputs, and recidivism project outputs. Arranged alphabetically by subject.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 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 10267. RESEARCH PROJECTS FILE.

Record copies of research projects assigned to the division for vocational education analysis for budget, homicide research, inmate tracking system, and policy analysis. Arranged alphabetically by subject.

DISPOSITION INSTRUCTIONS: Retain Active File until the series becomes inactive, then transfer to the Inactive File. Transfer Inactive File to the State Records Center after 5 years. 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 CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
DIRECTOR'S OFFICE**

ITEM 10269. ABSTRACT PUBLICATIONS FILE.

Record and reference copies of publications related to the Department of Correction and the Research and Planning Division. Arranged alphabetically by subject and then by jurisdiction (state).

DISPOSITION INSTRUCTIONS: Retain in office as long as of reference value, then transfer to shelf filing or to a staff library.

ITEM 10270. MANAGEMENT INFORMATION AND RESEARCH REPORTS FILE.

Record and reference copies of each published report of the division. Arranged alphabetically by report.

DISPOSITION INSTRUCTIONS: Retain 2 copies of each publication in agency permanently. Transfer 5 copies (as required) of each publication to the State Documents Clearinghouse, North Carolina State Library, when received from printer, in accordance with G.S. 12-11.7/11.8. Destroy in office remaining copies when reference value ends.

**DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
INFORMATION RESOURCES
MANAGEMENT INFORMATION SYSTEMS**

ITEM 4207. COMPUTER TAPES FILE.

Official and duplicate copies of summarized machine readable processing data for various data and word processing systems applications.

DISPOSITION INSTRUCTIONS: Back-up all master files and store a copy preferably at a secure, protected off-site location such as the State Records Center or other secure area. Update files periodically by erasing and exchanging tapes/disks as necessary.

**DEPARTMENT OF CORRECTION
ADMINISTRATION
MANAGEMENT INFORMATION AND RESEARCH
RESEARCH AND PLANNING SECTION**

ITEM 631. ADULT/PROBATION AND PAROLE OFFICER WORKLOAD STUDY FILE.

Reference copies of time records submitted by adult/probation and parole field officers.

DISPOSITION INSTRUCTIONS: Item discontinued. Transfer to the State Records Center. Records will be held for agency in the State Records Center 3 additional years and then destroyed.

ITEM 10276. CORRESPONDENCE FILE.

Record and reference copies of correspondence pertaining to Management Information and Research. Arranged alphabetically by subject.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

ITEM 10278. PLANNING PROJECTS FILE.

Record copies of notes, documentation, and results of planning projects. Arranged chronologically by year.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 10279. EVALUATION PROJECTS FILE.

Record copies of descriptive material used in evaluation of projects. Includes notes, data, and analysis. Arranged alphabetically by project name.

DISPOSITION INSTRUCTIONS: Retain in office Active File until file is no longer active, then transfer to the Inactive File. Retain in office Inactive Files 5 years, then destroy.

ITEM 10280. PENDING EVALUATION PROJECTS FILE.

Information copies of data concerning proposed and pending evaluation projects. Arranged alphabetically by project name.

DISPOSITION INSTRUCTIONS: Retain in the Pending File until project begins, then transfer to Evaluation Projects File. If project does not begin with 2 years, review and destroy in office if the project has no further administrative value.

ITEM 10281. RESEARCH PROJECTS FILE.

Record copies of descriptive material used in specific research projects. Includes notes, data, and analysis. Arranged alphabetically by project name.

DISPOSITION INSTRUCTIONS: Retain in office Active File until file is no longer active, then transfer to the Inactive File. Retain in office Inactive Files 5 years, then destroy.

ITEM 10282. PENDING RESEARCH PROJECTS FILE.

Information copies of data concerning proposed and pending research projects. Arranged alphabetically by project name.

DISPOSITION INSTRUCTIONS: Retain in Pending File until project begins, then transfer to the Research Projects File. If project does not begin within 2 years, review and destroy in office if the project has no further administrative value.

ITEM 10285. MINNESOTA MULTIPHASIC PERSONALITY INVENTORY (MMPI) TEST SCORES FILE.

Record copies of MMPI test scores of inmates. Arranged by inmate number within year of admission.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.