

DEPARTMENT OF JUSTICE
STATE BUREAU OF INVESTIGATION
FIELD OPERATIONS DIVISION
DISTRICT OPERATIONS 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

DISTRICT OPERATIONS SECTIONS

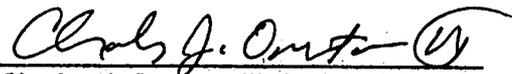
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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

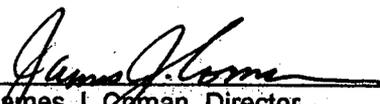
DISTRICT OPERATIONS SECTIONS

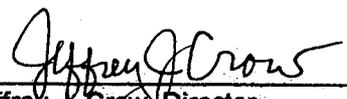
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

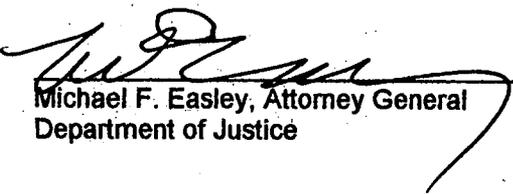

Linda Pulliam, Chief Records Officer
State Bureau of Investigation

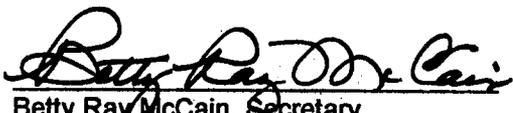

Charles J. Overton, III, Assistant Director
Field Operations Division


James J. O'Connell, Director
State Bureau of Investigation


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED


Michael F. Easley, Attorney General
Department of Justice

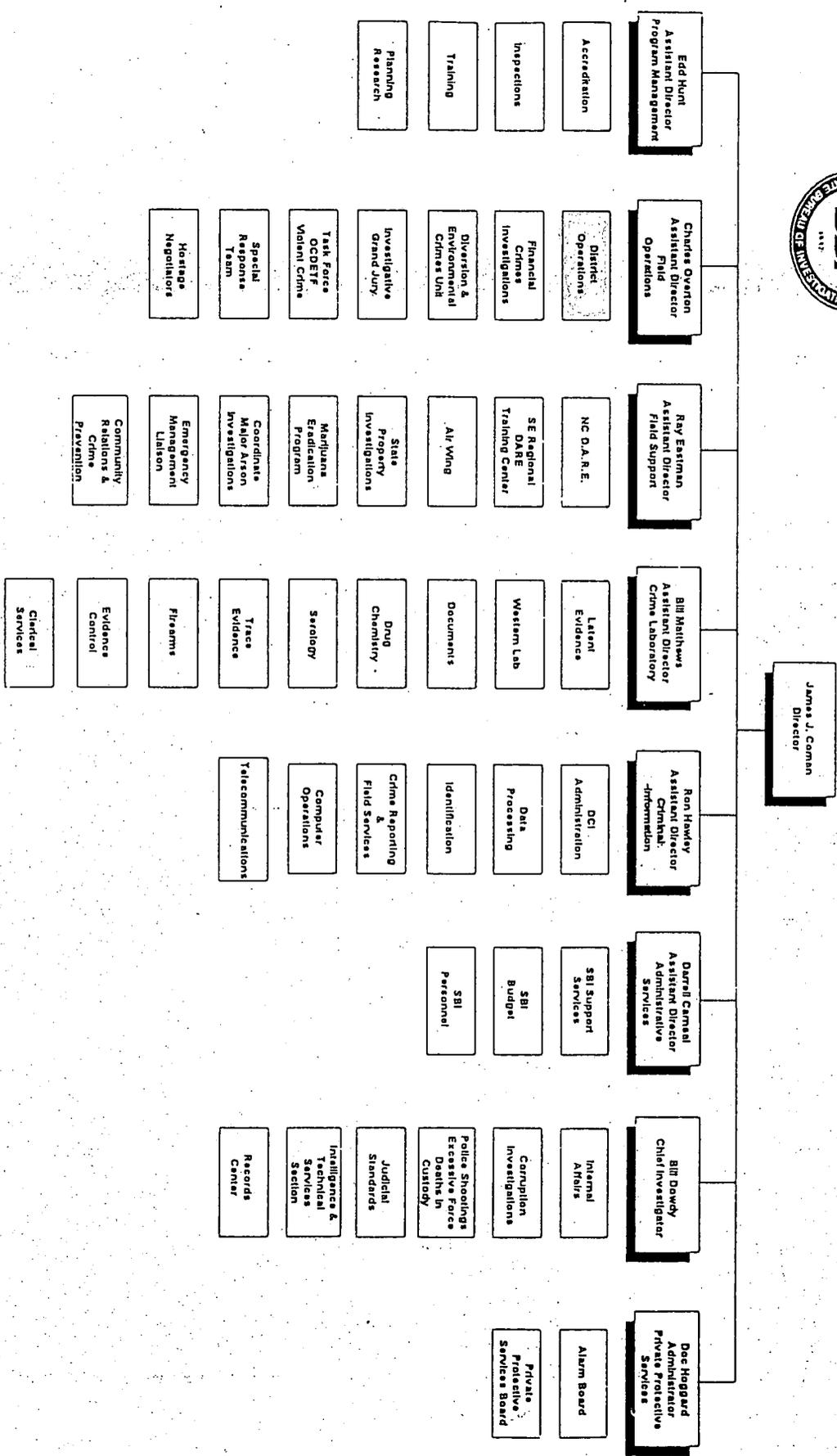

Betty Ray McCain, Secretary
Department of Cultural Resources

April 28, 1997

MS



North Carolina Department of Justice
State Bureau of Investigation



DEPARTMENT OF JUSTICE
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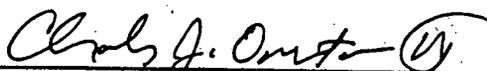
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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

DISTRICT OPERATIONS SECTIONS

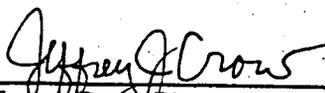
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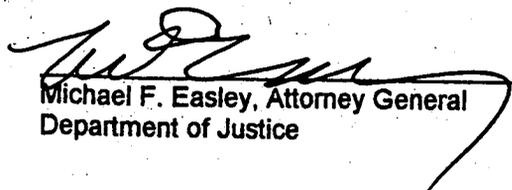

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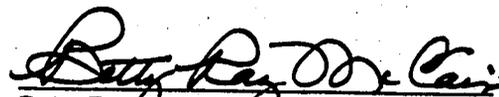

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This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

April 28, 1997

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**DEPARTMENT OF JUSTICE
STATE BUREAU OF INVESTIGATION
FIELD OPERATIONS DIVISION
DISTRICT OPERATIONS SECTION**

ITEM 2400. FINANCIAL CRIMES CLOSED CASES (1968-1990) FILE.

Records concerning each closed financial crimes investigation conducted by Financial Crimes unit. File includes investigative reports, spread sheets, financial analyses, accounting records, and other related records. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Microfilm records currently stored in the State Records Center for permanent storage in the security vault. Microfilmed paper records will be returned to agency for destruction. A copy of the microfilm will be sent to the State Bureau of Investigation, Records Center Section for permanent retention.

ITEM 16648. 120-DAY CASE REVIEW PRINTOUTS FILE.

Printouts generated from 120-Day Case Status Review Database (Electronic) File (Item 39115). Printouts list agents' names, file numbers, last activity dates, status of investigations, and other related data. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after case is closed if no litigation, claim, audit, or 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 16662. SPECIAL FUNDS ACCOUNT FILE.

Records concerning district office administration of special funds for purchases of narcotics, payments to informants, and other appropriate purposes. File includes reference copies of special fund monthly reports, receipts, vouchers, and other related records. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 16664. INVESTIGATIVE CASES FILE.

Records concerning each investigation conducted by district agents. File includes reference copies of initial reports, investigative reports, polygraph examinations (Form 11A), laboratory reports, and other related records. (Files are grouped numerically by year case was opened.) (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after case is closed 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 16667. INTELLIGENCE FILE.

Memorandums and reports concerning actual or potential criminal matters. Information is submitted to and received from Intelligence and Technical Services Section. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16668. DAILY REPORT PRINTOUTS FILE.

Printouts of daily reports received from district offices that summarize information concerning investigations of special interest. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16669. DIVISION OF CRIMINAL INFORMATION (DCI) PRINTOUTS FILE.

Printouts of reports received from DCI that summarize information of special interest to law enforcement agencies (e.g., escapee reports, reports of major thefts, reports of kidnappings, etc.). (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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ITEM 16672. LABORATORY REPORTS FILE.

Laboratory reports and mobile laboratory crime scene search reports. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Transfer records concerning open cases to appropriate Investigative Cases File (Item 16664) when open. Destroy in office remaining reports after 1 year.

ITEM 16674. AGENTS' EQUIPMENT FILE.

Records concerning equipment issued to each assigned agent. File includes agents' names, types of equipment issued, serial or asset numbers, documentation on description and condition of equipment, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16675. AGENTS' WORKING PAPERS FILE.

Records concerning investigations, training, and other subjects pertinent to agent activities. File includes reference copies of administrative correspondence and memorandums, agents' working papers, investigative reports, and other related records maintained by each agent. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16676. POLYGRAPH REPORTS FILE.

Records concerning polygraph examinations conducted by State Bureau of Investigation (SBI) polygraph examiners. File includes polygraph reports, permission statements, charts and graphs, documentation on regulations and guidelines, and other related records. (File is restricted by G.S. 132-1.4.) Information entered into Polygraph Reports Master Database (Electronic) File (Item 39124).

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after case is closed.

ITEM 16686. POLYGRAPH REPORTS FORMS (FORM 53) FILE.

Reports of polygraph examinations conducted by State Bureau of Investigation (SBI) agents. Reports list names of victims, types of crimes, location and dates of crimes, dates of polygraph examinations, names of examiners, race, sex, results of examinations, and other related data. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center immediately to be microfilmed for permanent storage in the security vault with restricted access. Microfilmed paper records will be returned to the agency for destruction. A copy of microfilm will be sent to agency for permanent retention.

ITEM 16687. AGENTS' POLYGRAPH REPORTS AND WORKING PAPERS FILE.

Polygraph reports and other records concerning polygraph operations by special agents and district office polygraph examiners. File includes correspondence, charts and graphs, and other materials used during polygraph examinations. (File is restricted by G.S. 132-1.4.) Information entered into Agents' Polygraph Reports Database (Electronic) File (Item 39117).

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after case is closed. Destroy records currently stored in the State Records Center immediately.

ITEM 25398. FINANCIAL CRIMES INVESTIGATIVE CASES INDEX CARDS (1968-1990) FILE.

Index cards concerning each case opened by Financial Crimes unit. Cards list case numbers, victims and suspects names and/or business names, dates cases closed, agents' names, and other related data. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**DEPARTMENT OF JUSTICE
STATE BUREAU OF INVESTIGATION
FIELD OPERATIONS DIVISION
DISTRICT OPERATIONS SECTION**

ITEM 25399. ENFORCEMENT CASES FILE.

Records concerning potential special investigations. File includes correspondence, reference information, investigative materials, and other related records. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 39115. 120-DAY CASE STATUS REVIEW DATABASE (ELECTRONIC) FILE.

Machine readable records concerning investigations conducted by district agents. Electronic file includes agents' names, file numbers, activity dates, status of investigation, and other related data. (Electronic database systems are maintained by State Bureau of Investigation, Division of Criminal Information (DCI).) (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Transfer printed copy to 120-Day Case Review Printouts File (Item 16648) upon receipt. Update in office electronic file routinely.

ITEM 39117. AGENTS' POLYGRAPH REPORT DATABASE (ELECTRONIC) FILE.

Machine readable records concerning polygraph examinations conducted by State Bureau of Investigation (SBI) polygraph agents. Electronic file includes names of victims, names of examiners, race, sex, dates of birth, addresses, and other related data. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Transfer printed copy to Chief Investigator Office, Records Center Section, Investigative Cases File (Item 2425) upon receipt. Transfer printed copy to Investigative Cases File (Item 16664) upon receipt. Erase in office hard drives and magnetic disks when reference value ends. Agents will backup polygraph folders portion of electronic file daily.

ITEM 39118. AGENTS' POLYGRAPH DICTATION INSTRUCTIONS FORMS (SBI-44) FILE.

Completed SBI-44 forms concerning investigations conducted by polygraph agents and other subjects pertinent to agent activities. Forms lists case numbers, dates of activities, names of victims, agents' names, dates forms completed, and other related data. (File is restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Transfer to Chief Investigator Office, Records Center Section, Investigative Cases File (Item 2425) when completed.

ITEM 39124. POLYGRAPH REPORTS MASTER DATABASE (ELECTRONIC) FILE.

Machine readable records concerning polygraph examinations conducted by district operations polygraph agents. Electronic file includes names of victims, dates of examinations, sex, race, names of examiners, charts and graphs, and other related data. (File is restricted by G.S. 132-1.4. This is an essential agency record.) (Electronic database systems are maintained by State Bureau of Investigation, Division of Criminal Information (DCI).)

DISPOSITION INSTRUCTIONS: Maintain on-line electronic file in database permanently. Maintain electronic file in Division of Criminal Information (DCI) permanently. Agency representative will update electronic file routinely.

ITEM 39210. APPLICANTS BACKGROUND INVESTIGATIONS FILE.

Correspondence concerning background investigations conducted by district agents for sworn and non-sworn applicants. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 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 JUSTICE
STATE BUREAU OF INVESTIGATION
SPECIAL INVESTIGATIONS DIVISION
FINANCIAL CRIME INVESTIGATIONS UNIT**

ITEM 39126. TIME REPORTING SYSTEMS (TRS) DATABASE (ELECTRONIC) FILE.

Machine readable records concerning agents' daily activities. Electronic file includes names of agents, numbers of hours worked, amount of mileage driven, arrest reports, and other related data. (Electronic database systems are maintained by State Bureau of Investigation, Division of Criminal Information (DCI).) (Portions of file are restricted by G.S. 132-1.4.)

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.