

DEPARTMENT OF JUSTICE  
STATE BUREAU OF INVESTIGATION  
PROFESSIONAL STANDARDS DIVISION  
FINANCIAL CRIMES INVESTIGATION UNIT

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

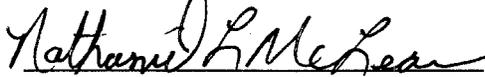
FINANCIAL CRIMES INVESTIGATION UNIT

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

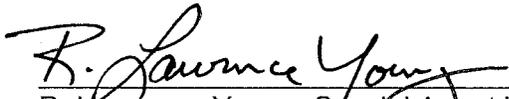
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



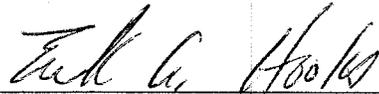
Nathaniel McLean, Chief Records Officer  
State Bureau of Investigation



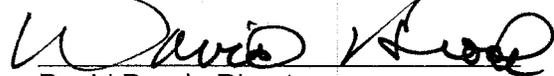
R. Lawrence Young, Special Agent in Charge  
Financial Crimes Investigations



Robin P. Pendergraft, Director  
State Bureau of Investigation

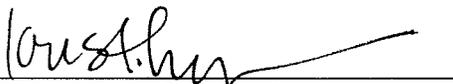


Erik A. Hooks, Assistant Director  
Professional Standards Division

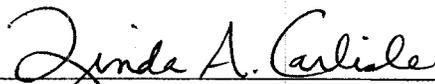


David Brook, Director  
Division of Historical Resources

APPROVED



Kristi Hyman, Chief of Staff  
Department of Justice



Linda A. Carlisle, Secretary  
Department of Cultural Resources

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**ITEM 48246. SPECIAL FUNDS ACCOUNT FILE.** Reference copies of records concerning district office administration of special funds for purchases of narcotics, payments to informants, and other authorized purposes. File includes reference copies of special fund monthly reports, receipts, vouchers, and other related records. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

**ITEM 48247. INVESTIGATIVE CASES FILE.** Records concerning each district office investigation conducted by district agents. File includes original and reference copies of initial reports, investigative reports, polygraph examinations (Form 11A), laboratory reports, and other related records. Case numbers, location of offense, dates of offense, type of crime, documentation on investigative activities, and other related data are entered into the Case Records Management Section, Investigative Cases Database (Electronic) File (Item 38124). (Files are grouped numerically by year in which case was opened.) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information and the Health Insurance Portability and Accountability Act of 1996 (HIPAA).)

DISPOSITION INSTRUCTIONS: Transfer reference copy to Financial Crimes Closed Cases File (Item 48253) when case is closed. Transfer original to the Case Records Management Section, Investigative Cases File (Item 2425) immediately.

**ITEM 48248. INTELLIGENCE FILE.** Memoranda and reports in paper and electronic formats concerning actual or potential criminal matters. File includes photographs, informant information, and other related records. Information is submitted to and received from the Intelligence and Technical Services Section, and other intelligence sources. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

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

**ITEM 48249. DAILY REPORT PRINTOUTS FILE.** Printouts in paper and electronic formats of daily reports that summarize information concerning investigations of special interest received from various State Bureau of Investigation units. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

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

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**ITEM 48250. LABORATORY REPORTS FILE.** Laboratory reports and mobile laboratory crime scene search reports. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Transfer records to Case Records Management Section, Investigative Cases File (Item 2425) immediately.

**ITEM 48251. AGENTS' EQUIPMENT FILE.** Records in paper and electronic formats 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 paper and electronic records when superseded or obsolete.

**ITEM 48252. AGENTS' WORKING PAPERS FILE.** Records in paper or electronic formats concerning investigations, training, and other subjects pertinent to agent activities. File includes reference copies of administrative correspondence and memoranda, agents' working papers, investigative reports, and other related records maintained by each agent. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

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

**ITEM 48253. FINANCIAL CRIMES CLOSED CASES FILE.** Records concerning each closed financial crimes investigation conducted by the Financial Crimes Investigation Unit. File includes investigative reports, spread sheets, financial analyses, accounting records, and other related records. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information and HIPAA.)

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

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**ITEM 48254. FINANCIAL CRIMES INVESTIGATIVE CASES (ELECTRONIC) INDEX**

**CARDS FILE.** Electronic records concerning each case opened by Financial Crimes unit. File includes case numbers, victims and suspects names and/or business names, dates cases closed, agents' names, and other related data. (File is maintained by State Bureau of Investigation, Division of Criminal Information (DCI).) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Function and records transferred to the Case Records Management Section, Investigative Cases Database (Electronic) File (Item 38124).

**ITEM 48255. NO ACTION FILE.** Records in paper and electronic formats concerning potential and non-potential special investigations. File includes correspondence, reference information, investigative materials, and other related records. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Transfer potential special investigations records to the Case Records Management Section, Investigative Cases File (Item 2425) immediately. Destroy in office remaining paper and electronic records when reference value ends.

**ITEM 48256. 180 DAY CASE STATUS REVIEW DATABASE (ELECTRONIC) FILE.**

Electronic 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).) (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Transfer printed copy to 180 Day Case Review Printouts File (Item 48257) upon receipt. Update in office electronic file routinely. Retain in office permanently.

**ITEM 48257. 180-DAY CASE REVIEW PRINTOUTS FILE.** Printouts generated from 180-Day Case Status Review Database (Electronic) File (Item 48256). Printouts list agents' names, file numbers, last activity dates, status of investigations, and other related data. (Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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**ITEM 48258. MAPPER OPERATING SYSTEM AND DATABASE (ELECTRONIC)**

**FILE.** Electronic records concerning State Bureau of Investigation agent activity, agent contact information, and agency-owned equipment records. Data is input from the Administrative Services Division, Support Services Section, Vehicles File (Item 16720) and is linked to Administrative Services Division, Support Services Section, Employee Roster Systems (ERS) Database (Electronic) File (Item 39636). Data includes employees' names, business and residential addresses, telephone numbers, emergency contact information, pertinent health information, training records, agent qualifications, equipment records, vehicle records, and other related data. (Comply with applicable provisions of G.S. 126-24 regarding confidentiality of personnel records and with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.) (File maintenance and backup procedures performed by the Department of Justice, Information Technology Division.)

**DISPOSITION INSTRUCTIONS:** Update in office routinely. Retain in office permanently.

**ITEM 48259. MAPPER OPERATING SYSTEM PRINTOUTS FILE.** Printouts generated from MAPPER Operating System and Database (Electronic) File (Item 48258). Printouts list State Bureau of Investigation agent activity, agent contact information, agency-owned equipment records, employees' names, business and residential addresses, telephone numbers, emergency contact information, pertinent health information, training records, agent qualifications, equipment records, vehicle records, and other related data. (Comply with applicable provisions of G.S. 126-24 regarding confidentiality of personnel records and with applicable provisions of G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

**DISPOSITION INSTRUCTIONS:** Destroy in office when administrative value ends.