

DEPARTMENT OF JUSTICE
STATE BUREAU OF INVESTIGATION
PROFESSIONAL STANDARDS DIVISION
MEDICAID CRIMINAL 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

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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 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 This schedule is to remain in effect until superseded.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



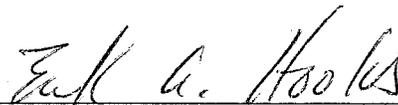
Nathaniel McLean, Chief Records Officer
State Bureau of Investigation



Mark A. Isley, Special Agent in Charge
Medicaid Crimes Investigations



Robin P. Pendergraft, Director
State Bureau of Investigation

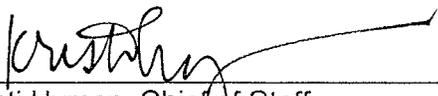


Erik A. Hooks, Assistant Director
Professional Standards Division

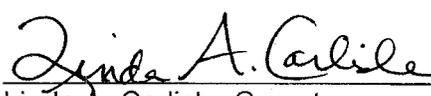


David Brook, Director
Division of Historical Resources

APPROVED



Kristi Hyman, Chief of Staff
Department of Justice



Linda A. Carlisle, Secretary
Department of Cultural Resources

April 30, 2009

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ITEM 48260. 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 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 48261. 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 Closed Cases File (Item 48267) when case is closed. Transfer master to the Case Records Management Section, Investigative Cases File (Item 2425) immediately.

ITEM 48262. 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 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 48263. 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 48264. 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 the Case Records Management Section, Investigative Cases File (Item 2425) immediately.

ITEM 48265. 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 48266. 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 48267. CLOSED CASES FILE. Records concerning each closed special investigation conducted by unit. File includes reference copies of initial reports, investigative reports, polygraph examinations (Form 11A), laboratory reports, 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.

ITEM 48268. 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.

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ITEM 48269. 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 Professional Standards Division, Financial Crime Investigations Unit, 180 Day Case Review Printouts File (Item 48257) upon receipt. Update in office electronic file routinely. Retain in office permanently.

ITEM 48270. 180-DAY CASE REVIEW PRINTOUTS FILE. Printouts generated from 180-Day Case Status Review Database (Electronic) File (Item 48269). 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.

ITEM 48271. 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 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.

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ITEM 48272. MAPPER OPERATING SYSTEM PRINTOUTS FILE. Printouts generated from MAPPER Operating System and Database (Electronic) File (Item 48271). 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 G.S. 132-1.4 regarding confidentiality of criminal investigations and criminal intelligence information.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.