

NORTH CAROLINA SENTENCING AND POLICY ADVISORY COMMISSION

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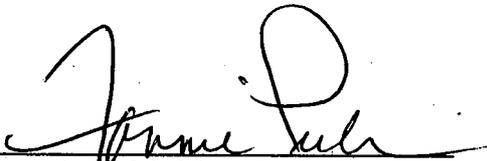
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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 This schedule is to remain in effect until superseded.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

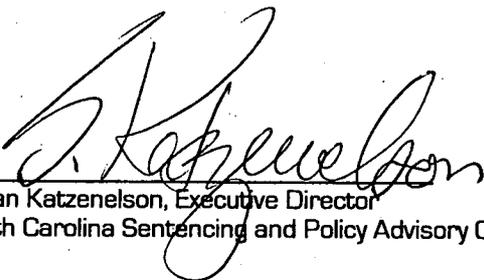


Fannie Peele, Administrative Assistant
North Carolina Sentencing and Policy Advisory Commission



David J. Olson, Director
Division of Historical Resources

APPROVED



Susan Katzenelson, Executive Director
North Carolina Sentencing and Policy Advisory Commission



Lisbeth C. Evans, Secretary
Department of Cultural Resources

January 11, 2002

AWH

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

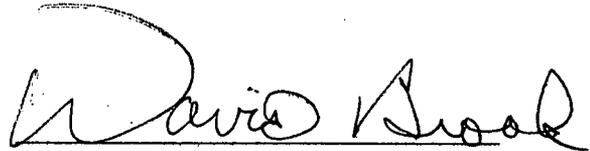
NORTH CAROLINA SENTENCING AND POLICY ADVISORY COMMISSION

Amend the program records retention and disposition schedule approved January 11, 2002 by changing the disposition instructions for Items 39221, 39224, 39225, 39226, 39228, 39234, 39236, 39237, 39239, 39241, 39242, 39244, 45434, 45435, 45436, 45776, and 45777; the descriptions and disposition instructions for Items 39219 and 48117; the description for Item 39233; and by adding Item 48117 as shown on substitute page dated February 27, 2008.

APPROVAL RECOMMENDED



Susan Katzenelson, Executive Director
North Carolina Sentencing and Policy
Advisory Commission



David Brook, Director
Division of Historical Resources

APPROVED



W. Erwin Spainhour, Chairman
North Carolina Sentencing and Policy
Advisory Commission



Lisbeth C. Evans, Secretary
Department of Cultural Resources

February 27, 2008

AWH

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ITEM 39215. ADMINISTRATIVE DATABASE (ELECTRONIC) FILE.

Electronic records concerning the administration and management of the Commission. Electronic file includes statistical reports, impact statements, jail reports, and other related data. (File maintenance and backup procedures are conducted by LAN Administrator.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office when administrative value ends.

ITEM 39216. APPLICATIONS FOR EMPLOYMENT FILE.

Completed applications for employment with resumes and other supporting documentation. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office applications and other records that are unsolicited and for individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

ITEM 39217. APPOINTMENTS (SECURITY COPY) FILE.

Security copies of correspondence concerning appointment or reappointment of members to the North Carolina Sentencing and Policy Advisory Commission. File includes correspondence of the Commission's executive director, nominating authorities, and appointing authorities. (Original records are maintained in the Appointments File (Item 39218).)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center for security storage immediately after appointment is completed. Records will be held for agency in the State Records Center 5 additional years and destroyed after the original records in the Appointments File (Item 39218) have been transferred to the custody of Archives.

ITEM 39218. APPOINTMENTS FILE.

Correspondence concerning the appointment or reappointment of members of the North Carolina Sentencing and Policy Advisory Commission. File includes correspondence of the Commission's executive director, nominating authorities, and appointing authorities. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer 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.

ITEM 39219. DIGITAL RECORDING (ELECTRONIC) FILE.

Electronic records (digital audio recordings) of meetings of the North Carolina Sentencing and Policy Advisory Commission and its various subcommittees. Recordings are used to prepare minutes of the Commission and its subcommittees (see Item Nos. 39235 and 48117).

Amended 2-27-08

DISPOSITION INSTRUCTIONS: Destroy digital recordings (and any remaining audio cassette tapes) in office once transcribed and when administrative value ends. Destroy audio cassette tapes (1991-2003) currently held in the State Records Center immediately.

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ITEM 39220. COMMUNITY CORRECTIONS AND TARGETING ADVISORY GROUP MINUTES FILE.

Records in paper and electronic formats concerning the official minutes of the Community Corrections and Targeting Advisory Group. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer a duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Arrange for delivery of original minutes to the State Records Center after 5 years to be microfilmed. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be destroyed in the State Records Center after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in the off-site storage location after the original records have been microfilmed.

ITEM 39221. COMMUNITY CORRECTIONS SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats concerning the official minutes of the Community Corrections Subcommittee. Minutes concern the 4 major tasks of the subcommittee: (1) recommendation of a state organizational structure for community corrections programs; (2) identification of programs for inclusion in a continuum of community sanctions; (3) development of a state-local funding mechanism for community corrections programs; and (4) identification of categories of offenders eligible for community corrections programs. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39222. CONTRACTS FILE.

Records concerning contractual services provided by consultants to perform tasks mandated by the Legislature (such as recidivism studies) or to assist staff on projects (such as the development of a computer simulation model). File includes personal, consultant, or contractual services contracts.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after termination of contract if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to the State Records Center 1 year after completion of action and resolution of issues involved. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 39223. CORRESPONDENCE FILE.

Records in paper and electronic formats of correspondence concerning the implementation of the North Carolina Sentencing and Policy Advisory Commission's policies, requests for information regarding Structured Sentencing, information updates following meetings, and related correspondence. File also includes correspondence written and/or received by the Commission's chairman, executive director, associate directors, staff attorney, and

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records 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.

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ITEM 39224. DEFENDANT STRUCTURES SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats concerning the official minutes of the Defendant Structures Subcommittee. Minutes concern the recommendations regarding defendant characteristics and the development of a format for these characteristics for inclusion in structured sentencing. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39225. DISPOSITION RECOMMENDATIONS SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats concerning the official minutes of the Disposition Recommendations Subcommittee. Minutes concern the disposition provisions of structured sentencing. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39226. DURATIONAL SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats concerning the official minutes of the Durational Subcommittee. Minutes concern the assignment of sentence lengths and percentage of time to be served to the cells of the punishment grid. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39227. FINANCIAL FILE.

Reference copies of records concerning the North Carolina Sentencing and Policy Advisory Commission's budgets and expenditures. File includes reference copies of requisitions, purchase orders, invoices, travel reimbursement forms, budget reports, meeting expenditures, telephone statements, and other related records. (Original records are maintained by the Administrative Office of the Courts, Fiscal Services Division and Purchasing Services Division.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 39228. FUTURE OF THE SENTENCING COMMISSION SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats concerning the official minutes of the Future of the Sentencing Commission. Minutes concern the development of recommendations regarding the membership and responsibilities of a permanent commission. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39229. GRANTS PROGRAMS FILE.

Records concerning federal grants facilitating interagency and/or intra-agency cooperation in the state. File includes awarded grant applications, correspondence, documentation of allocations and disbursements, and other related records.

DISPOSITION INSTRUCTIONS: Transfer 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.

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ITEM 39230. JAIL REPORTS FILE.

Records in paper and electronic formats concerning the reports of the average daily jail populations and percentages, as well as admissions and releases by gender and type by local confinement facility. File also includes transmittal memorandums with accompanying reports to sheriffs and county managers and statewide summaries reports of jail populations.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records 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.

ITEM 39231. LEAVE FILE.

Records in paper and electronic formats concerning leave taken by section personnel. File includes leave requests, monthly leave reports, yearly leave recapitulations, and related correspondence. File also includes backup records. (Comply with applicable provisions of G.S. 126-22 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic 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 completion of action and resolution of issues involved.

ITEM 39232. LIBRARY (REFERENCE) FILE.

Reference copies of records in paper and electronic formats concerning community corrections, structured sentencing, and other corrections and criminal justice issues. File includes legislative bills and approved legislation, bulletins, newsletters, research briefs, directories, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 39233. COMMISSION MEETINGS FILE.

Records in paper and electronic formats concerning Commission meetings. File includes meeting motions, agendas, fact sheets, meeting announcements, attendance registers for both Commission members and guests, handouts, and correspondence, but does not contain Commission minutes (see Item 39235). Also contains various subcommittee minutes and recommendations (and associated documentation) as reported to the full Commission, and other related records. Amended 2-27-08

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records 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.

ITEM 39234. MISDEMEANOR OFFENSE SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Misdemeanor Offense Subcommittee. Minutes concern the review of misdemeanor classifications and the need for revising the classifications. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

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ITEM 39235. NORTH CAROLINA SENTENCING AND POLICY ADVISORY COMMISSION MINUTES FILE.

Records in paper and electronic formats of the official minutes of the North Carolina Sentencing and Policy Advisory Commission. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer a duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Arrange for delivery of original minutes to the State Records Center after 5 years to be microfilmed. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be destroyed in the State Records Center after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to the custody of the Archives for permanent storage in the vault. Destroy duplicate copies in the off-site storage location after the original records have been microfilmed.

ITEM 39236. OFFENSE REVIEW SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Offense Review Subcommittee. Minutes concern the review of proposed legislation for the purpose of determining whether the proposals are consistent with established structured sentencing criteria and a review of seldom charged felony and misdemeanor offenses for possible repeal. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39237. OFFENSE STRUCTURES SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Offense Structures Subcommittee. Minutes concern the development of offense classification criteria and the classification of existing crimes for structured sentencing. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39238. PERSONNEL FILE.

Reference copies of records concerning office personnel. File includes applications for employment, resumes, personnel action forms, payroll forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after employee terminates service after verifying that records are duplicates of those in Administrative Office of the Courts, Personnel Services Division. Transfer to Administrative Office of the Courts, Personnel Services Division any unique records to be incorporated into official personnel file of the employee.

ITEM 39239. POST-RELEASE SUPERVISION AND COMMUNITY CORRECTIONS SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Post-Release Supervision and Community Corrections Subcommittee. Minutes concern the reviewing/amending of the Post-Release Supervision provisions of the Structured Sentencing Act and the reviewing/amending of the commission's comprehensive community corrections strategy. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

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ITEM 39240. PUBLICATIONS FILE.

Records in paper and electronic formats concerning publications produced by the North Carolina Sentencing and Policy Advisory Commission at state expense. File includes Structured Sentencing Training and Reference Manual, Statistical Reports to the General Assembly, and other related records. File also includes backup records.

DISPOSITION INSTRUCTIONS: Destroy in office electronic records when administrative value ends. Transfer 12 paper copies of each publication to the Administrative Office of the Courts Research and Planning Division when received from printer to be forwarded to the State Documents Clearinghouse, State Library of North Carolina in accordance with G.S. 125-11.8 (b). Destroy in office remaining copies and related records when reference value ends.

ITEM 39241. RESTITUTION SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Restitution Subcommittee. Minutes concern a study of the restitution issue as mandated by House Bill 1035. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39242. STANDARD OPERATING CAPACITY SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Standard Operating Capacity Subcommittee. Minutes concern the development of structures to conform to the standard operating capacity of the Department of Correction (DOC) in accordance with a legislative mandate. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 39244. STRUCTURED SENTENCING ISSUES SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Structure Sentencing Issues Subcommittee. Minutes concern the review of offense or punishment changes proposed by the General Assembly for consistency with structured sentencing criteria. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 45434. COMMUNITY CORRECTIONS ISSUES SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Community Corrections Issues Subcommittee. Minutes concern the two major tasks of the subcommittee: reviewing the current use of intermediate sanctions in order to determine whether any changes are needed, and reviewing the current post-release supervision laws and addressing any problem areas. Recommendations were made to the 2001 Session of the General Assembly. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

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ITEM 45435. JUVENILE JUSTICE ISSUES SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Juvenile Justice Issues Subcommittee. Minutes concern the tasks of studying blended sentencing and direct filing in certain juvenile cases. The study includes a consideration of whether North Carolina should adopt a criminal-inclusive model of blended sentencing, an examination of various models of blended sentencing, and an examination of direct file, specifically, whether the prosecutor should have the authority to directly file charges in superior court against 15 year old juveniles charged with A through E felony offenses. A report was made to the Office of Juvenile Justice on March 15, 2000. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 45436. SPECIAL ISSUES SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Special Issues Subcommittee. Minutes concern the task of reviewing House Bill 760 (An Act to Increase Criminal Penalties for Certain Arson Offenses) of the 1999 General Assembly session and make recommendations. A report was made to the Sentencing Commission and the bill sponsor on June 2, 2000. Other special requests that may arise are expected to be assigned to this subcommittee. (This is an essential agency record.) Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 45776. OFFENSE AND OFFENDER CLASSIFICATION SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Offense and Offender Classification Subcommittee. Minutes concern the study and review of the State's sentencing laws regarding classification of offenses and offenders in order to develop options for slowing the anticipated increase in incarceration over the next 10 years. Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 45777. SENTENCE DURATION AND DISPOSITION SUBCOMMITTEE MINUTES FILE.

Records in paper and electronic formats of the official minutes of the Sentence Duration and Disposition Subcommittee. Minutes concern the study and review of the State's sentencing laws. Issues include the relationship of the sentence and the sentence length to the offense and the sentence dispositions available to judges in order to develop options for slowing the anticipated increase in incarcerations over the next 10 years. Amended 2-27-08

DISPOSITION INSTRUCTIONS: Records transferred to the Subcommittee Meeting Minutes File (Item 48117).

ITEM 45893. SECURITY BACKUP FILE.

Records on computer readable media identical in digital format to electronic records created and maintained in the office and retained off-site in a separate location in case the original records are damaged or inadvertently erased. File also includes logs, directories, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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ITEM 45974. WEBSITE (ELECTRONIC) FILE.

Electronic records concerning the commission's presence on the World Wide Web (WWW). Electronic file includes contact information, local programs, newsletter, and other related information. Records are in hypertext markup language (HTML). (File maintenance and backup procedures are conducted by Sentencing Services.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office when superseded or obsolete.

ITEM 48117. SUBCOMMITTEE MEETING MINUTES FILE.

Records in paper and electronic formats of the official minutes of various subcommittees of the North Carolina Sentencing and Policy Advisory Commission. File also includes list of names and functions of subcommittees and dates of meetings. Amended 2-27-08

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer minutes, recommendations, and appropriate documentation to the Commission Meetings File (Item 39233) once findings are reported to the full Commission. Destroy in office remaining records after 5 years.