

OFFICE OF THE STATE AUDITOR
AUDIT DIVISION
HOTLINE INVESTIGATIONS SECTION

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

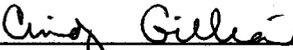
HOTLINE INVESTIGATIONS SECTION

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

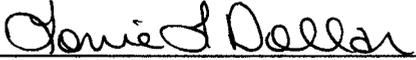
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Cindy Gilliam, Chief Records Officer
Office of the State Auditor


David King, Director
Hotline Investigations Section


Lorrie L. Dollar, Chief Deputy
Office of the State Auditor


David Brook, Director
Division of Historical Resources

APPROVED


Leslie W. Merritt, State Auditor
Office of the State Auditor


Lisbeth C. Evans, Secretary
Department of Cultural Resources

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HOTLINE INVESTIGATIONS SECTION**

Item 33251. Hotline Investigations File. Records in paper and electronic formats concerning investigative audit workpapers related to the allegations of fraud, waste and abuse in state government. File includes summaries of complaints, detailed reports arranged by case number, correspondence, interview notes, investigators' analyses of complaints, and other related records. Case numbers, complainants' names, nature of complaints, dates of receipt, and other related data are entered into the Fraud and Abuse Case Tracking System (FACTS) (Electronic) File (Item 33414) and routinely updated. (Comply with applicable provisions of G.S. 147-64.6 (c16) regarding anonymity of complainants.)

DISPOSITION INSTRUCTIONS: Destroy in office records concerning unsubstantiated complaints within 4 years in accordance with G.S. 147-64.6 (c16). Destroy in office records concerning substantiated complaints when administrative value ends.

Item 33252. Hotline Allegations File. Records in paper and electronic formats concerning all complaints received by the Hotline Investigations Section. Case numbers, complainants' names, nature of complaints, dates of receipt, and other related data are entered into the Fraud and Abuse Case Tracking System (FACTS) (Electronic) File (Item 33414) and routinely updated. (Comply with applicable provisions of G.S. 147-64.6 (c16) regarding anonymity of complainants.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

Item 33254. Legal Actions File. Reference copies of records concerning legal action taken by an employee against his/her employing department. File includes subpoenas, reference copies of court depositions, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Records transferred to Hotline Investigations File (Item 33251).

Item 33414. Fraud and Abuse Case Tracking System (FACTS DATABASE) (Electronic) File. Electronic records concerning all complaints received by the Hotline Investigations Section. File includes case numbers, complainants' names, nature of complaints, dates of receipt, and other related data. Data is entered into this database from Hotline Investigations File (Item 33251) and Hotline Allegations File (Item 33252). (Comply with applicable provisions of G.S. 147-64.6 (c16) regarding anonymity of complainants.)

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