

The Role of DCR's Records Management Analyst: Assisting State and Local Officials

North Carolina Department of Cultural Resources
Archives and Records Section
Government Records Branch



The Law

NCGS 121

Archives and History Act

NCGS 132

Public Records Law



NORTH CAROLINA
DEPARTMENT OF
CULTURAL
RESOURCES
WWW.NCCULTURE.COM

Records Management

- "...the application of efficient and economical management methods [for] the creation, utilization, maintenance, retention, preservation, and disposal of official records..."

G.S. 132-8.1



Records Management Analysts

- Analysts are assigned to either state agencies or local governmental entities due to the unique records management issues of each group.
- State Agency Unit
 - Ron Leach, Supervisor
 - Al Hargrove
 - vacant
- State Records Center
 - Laura Hensey
- Local Records Unit
 - Tom Vincent
 - Lisa Coombes
 - Jason Woolf
- Electronic Records Branch
 - Kelly Eubank



Role of a Records Analyst

- Coordinate the preparation of new, updated, or amended records retention and disposition schedules for state and local agencies, including state supported universities.
- Consult with state and local agencies on a variety of records management and public records topics
- Provide records management training through in-house and onsite workshops, including management of public records, scanning, micrographics, management of electronic records, as well as custom workshops

Role of a Records Analyst

Local Analysts:

- Arrange the microfilming of permanently valuable records, including: minutes of local governing boards and tax scrolls.
- Arrange the transfer of permanently valuable records to the State Archives.

Records Analyst: Developing Retention and Disposition Schedules

- State Agency Retention and Disposition Schedules
 - General Schedule
 - Program Retention Schedules
- Local Retention and Disposition Schedules
 - Records commonly found in local governmental offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed.
- In FY 2010-2011, analysts completed 1,088 schedule items



Records may not be destroyed by agencies without a current retention and disposition schedule.



Program Retention Schedules on the Web

- *It is the responsibility of each state agency to have a records retention and disposition schedule in place, to keep it up to date, and to notify the Government Records Branch of any changes affecting the schedule.*

State Agency Search

Please Select One or More Agency Levels.

Department of Environment and Natural Resources	▼
Assistant Secretary for Natural Resources	▼
Select Agency Level 3	▼
Select Agency Level 4	▼
Select Agency Level 5	▼

You May Also Search for Keywords in Selected Data Fields.
Separate keywords with a comma. Select AND for all the words in your List
to match ... OR ... to ...

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

FINANCIAL CRIMES INVESTIGATION UNIT

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.

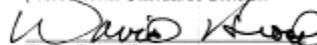
APPROVAL RECOMMENDED


Nathaniel McLean, Chief Records Officer
State Bureau of Investigation

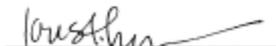

R. Lawrence Young, Special Agent in Charge
Financial Crimes Investigations


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

April 30, 2009

WHB

DEPARTMENT OF JUSTICE
STATE BUREAU OF INVESTIGATION
PROFESSIONAL STANDARDS DIVISION
FINANCIAL CRIME INVESTIGATIONS UNIT



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.

Records Analyst as Consultant

Consult with state and local agencies on a variety of records management and public records topics, including:

- File Management
- Electronic Records Issues
- E-Mail Management
- Metadata
- Scanning Public Records

In FY 2010-2011, analysts visited 218 agencies and corresponded with 2,661 state and local officials via e-mail and/or phone

Scanning Public Records

- Agencies may scan any record
- Scanning is not required
- Balance cost and benefit
- Non-permanent records may be destroyed after scanning
 - Electronic Records Policy
 - Self-Warranty form
 - Request for Destruction of Records Duplicated by Electronic Means form

Publications



- Best Practices for Digital Preservation
- Best Practices for File Naming
- Data Transfer Guidelines
- Digital Imaging Systems Guidelines
- Human-Readable Preservation Duplicates
- Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
- North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems
- Public Database Indexing Guidelines
- Recommended Digital File Formats
- Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

Publications

- E-Mail Management
 - E-mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition
 - Guidelines for E-Mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail
- Website Management
 - Best Practices for Social Media Usage in North Carolina
 - Website Guidelines

Records Analyst as Educator

- Provide records management training through in-house and onsite workshops, and online tutorials
- In FY 2010-2011, analysts delivered 117 workshops throughout NC with 3,067 attendees



Workshops

- Introduction to Managing Public Records
- From Filing Cabinet to Desktop PC: Organizing Your Paper and Electronic Files
- The Digital Divide Also Multiplies: Managing E-mail
- Managing Electronic Records: Recognizing Perils and Avoiding Pitfalls
- Scanning Public Records: Laying the Groundwork
- Managing Your Inbox: E-mail as a Public Record

Online Tutorials

- Online tutorials are available on our website
 - Managing Your Inbox: E-mail as a Public Record-
 - Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls
 - Managing Public Records for Local Government Agencies
 - Managing Public Records for State Agencies
 - Social Networking Websites for State Agencies

Records Management Website

Government Records Branch of North Carolina

Links

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Home



The Government Records Branch is part of the Archives and Records Section, [North Carolina Division of Historical Resources](#).

The primary mission of the Government Records Branch is to provide and administer records management services to state government agencies, local government agencies, and state-supported institutions of higher education in North Carolina in accordance with *General Statutes 121 and 132* and the mandate provided in these laws for the preservation of the historical record of this state. (For links to other Public Record Laws, visit our [Guidelines page](#).)

Online Tutorials

- [Managing Your Inbox: E-mail as a Public Record](#)
- [Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls](#)
- [Managing Public Records for Local Government Agencies](#)
- [Managing Public Records for State Agencies](#)
- [Social Networking Websites for State Agencies](#)

What's New

- Plan to attend the conference: "*From Theory to Practice: Accessing and Preserving Electronic Records and Digital Materials*" November 3-4, 2011 at the McKimmon Center in Raleigh. [Click here to view the flyer](#) (PDF).
- [Search the Government Records website!](#)
- Announcing the [North Carolina Digital Collections](#), joint project of the Archives and Records Section and the State Library. [Read more here...](#)
- [Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition](#) (pdf)
- **New IPER classes available.** See [Intergovernmental Preparedness for Essential Records \(IPER\) 2011](#) (pdf) for more information about the IPER project.
- Two social media best practices guidelines are now available in PDF format: best practices for [Local Government](#) and [State Agencies](#).
- "[Best Practices for Social Media Usage in North Carolina](#)" (pdf) is now available.
- [New E-mail Guidelines: "E-mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition"](#) (pdf) and "[Guidelines for E-](#)

Contact Information

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Government Records Branch

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GRB website: <http://www.records.ncdcr.gov/>

General Assembly website: <http://ncga.state.nc.us/>