

16. Risk Management

Risk Management is the function of identifying, analyzing, and assessing unacceptable risks along with handling their avoidance, control, minimization, or elimination.

NOTE: For audits, see MONITORING AND COMPLIANCE.

Table of contents (A comprehensive listing of all record types is available on the Functional Schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 16.1 [Accidents, Incidents, and Damage](#)
 - 1611 [Accident/Incident Reports](#)
 - 1612 [Lost, Stolen, or Damaged Property Reports](#)
- 16.2 [Emergency Management](#)
 - 1621 [Agency Disaster Planning](#)
 - 1622 [Alerts](#)
 - 1623 [Disaster Recovery Records](#)
 - 1624 [Forest Fire Incident Records](#)
 - 1625 [Search and Rescue Mission Records](#)
- 16.3 [Hazardous Materials Management](#)
 - 1631 [Asbestos Management Plan](#)
 - 1632 [Hazardous Materials Management](#)
 - 1633 [Safety Data Sheets](#)
- 16.4 [Insurance](#)
 - 1641 [Certificates of Insurance](#)
 - 1642 [Insurance Policies](#)
 - 1643 [Self-Insurer Certifications](#)
- 16.5 [Office Safety and Security](#)
 - 1651 [Emergency Drills and Equipment Tests](#)
 - 1652 [Employee Security Records](#)
 - 1653 [Fire, Health, and Safety Records](#)
 - 1654 [Fuel Oil Storage Tank Records](#)
 - 1655 [Inspections](#)
 - 1656 [Loss Control Inspection Reports](#)
 - 1657 [Reasonable Accommodations](#)

1658 [Surveillance Recordings](#)

1659 [Workplace Security Records](#)

Appendix: [Records That Will Transfer to the State Records Center](#)

Few Risk Management records have archival value, although many record types have long retention periods (e.g., some Disaster Recovery Records [RC No. 1623] should be retained in office permanently). The retention periods for many risk management records are triggered by the expiration of a policy or the resolution of an accident or incident; for this reason, it is best to organize risk management records chronologically according to these trigger events. For example, by doing so, in 2018 an agency could easily identify and destroy any damaged property reports (RC No. 1612) that were completed before 2015. There are also many records under Risk Management that are iterative in nature and hold no value beyond the next successive version. These record types, such as Employee Security Records (RC No. 1652), should be destroyed in office when they are superseded or obsolete.





These Functional Schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. (A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.) Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. A key for the Functional Schedule along with definitions of important records management terms can be found in the glossary to this schedule.

16.1 Accidents, Incidents, and Damage

DEFINED: Activities related to the investigation and resolution of accidents or incidents that occur on agency property or involve agency personnel (including temporary employees, volunteers, and contract employees). Also includes documentation of damage to agency property.

16.1

SEE ALSO: For documentation of incidents involving Adult Correction offenders on work release, see LAW ENFORCEMENT. Tort Claims and Workers' Compensation Program Claims are under LEGAL.

RC No.	Record Types	Disposition Instructions	Citation
1611.3+ (1) 	Accident/Incident Reports (1 of 4) Accident or incident reports involving agency customers (adults) SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10
1611.3+ (2) 	Accident/Incident Reports (2 of 4) Accident or incident reports involving agency customers (minors) SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	RETAIN UNTIL: Minor reaches age of 21 THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10
1611.3+ (3) 	Accident/Incident Reports (3 of 4) Accident or incident reports involving agency personnel that do not result in workers' compensation; includes traffic incidents involving State agency vehicles SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 97-92(b) G.S. § 132-1.10
1611.3+ (4) 	Accident/Incident Reports (4 of 4) Accident or incident reports that do not result in claims or legal actions SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.




RC No.	Record Types	Disposition Instructions	Citation
1612.2	<p>Lost, Stolen, or Damaged Property Reports (1 of 2) Reports of property lost or stolen at agency; includes reports and narratives of vandalism to agency property</p>	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy*	
1612.5	<p>Lost, Stolen, or Damaged Property Reports (2 of 2) – State Bureau of Investigation State Bureau of Investigation property incident investigation reports</p>	RETAIN UNTIL: Complete PLUS: 5 years Ω THEN: Destroy*	<p><u>Authority</u> G.S. § 143B-920</p>

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.2 Emergency Management

DEFINED: Activities coordinating mitigation, preparedness, response, and recovery efforts for emergencies of a short duration as well as disasters inflicting widespread destruction and having long-term consequences for the agency and/or its constituents.

SEE ALSO: Emergency declarations by the Office of the Governor are under GOVERNANCE. Data backups are under INFORMATION TECHNOLOGY. Missing persons records and emergency responder communications records are under LAW ENFORCEMENT. Disaster plans that outside entities are required to file with state agencies are under MONITORING AND COMPLIANCE. Disaster relief allocations are under PUBLIC ASSISTANCE AND SUPPORT SERVICES (unless they are grant-funded, in which case they are under FINANCIAL MANAGEMENT).

RC No.	Record Types	Disposition Instructions	Citation
1621.S 	<p>Agency Disaster Planning</p> <p>Records concerning preparedness in the event of a disaster (natural, accidental, or malicious); includes background surveys, studies, reports, and records concerning the process of notifying personnel in the event of an emergency; also includes Continuity of Operations Plans (COOP) and Business Continuity Plans (BCP)</p> <p>SEE ALSO: Records Backup Information (INFORMATION TECHNOLOGY)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 143B-1331</p> <p><u>Confidentiality</u></p> <p>G.S. § 126-24</p> <p>G.S. § 132-1.7</p>
1622.1	<p>Alerts – Department of Public Safety and State Highway Patrol</p> <p>Messages of the Emergency Alert System (initiated by the State Emergency Operations Center or the State Highway Patrol) distributed via television, radio, weather radios, and cell phone services; also includes wireless emergency alerts</p> <p>SEE ALSO: Missing Persons Records (LAW ENFORCEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
1623.P	<p>Disaster Recovery Records (1 of 3)</p> <p>Administrative records documenting major agency disaster recovery efforts and evaluating their efficacy</p>	<p>PERMANENT</p>	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Disposition Instructions	Citation
1623.3	<p>Disaster Recovery Records (2 of 3)</p> <p>Records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1623.A	<p>Disaster Recovery Records (3 of 3) – Department of Public Safety</p> <p>Records concerning disaster recovery efforts coordinated by the Department of Public Safety; also includes Flood Risk Information System data</p> <p>SEE ALSO: Claims and Support Services (PUBLIC ASSISTANCE AND SUPPORT SERVICES)</p>	<p>PERMANENT (archival) ∞</p>	
1624.P	<p>Forest Fire Incident Records – Department of Agriculture</p> <p>a) Forest Service case files for fire investigations</p> <p>b) Forest Service final fire reports</p> <p><i>NOTE: Follow federal retention and disposition instructions for fires occurring on federal land</i></p>	<p>PERMANENT (appraisal required) ∞</p>	
1625.5	<p>Search and Rescue Mission Records – Department of Public Safety</p> <p>Planning and implementation records for search and rescue missions undertaken by the Department of Public Safety</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.3 Hazardous Materials Management

DEFINED: Records documenting agency efforts to prevent and mitigate exposure to hazardous materials.

SEE ALSO: Records concerning training and handling of hazardous materials by agency personnel are under HUMAN RESOURCES.

16.3

RC No.	Record Types	Disposition Instructions	Citation
1631.1	<p>Asbestos Management Plan</p> <p>Risk assessments, management plans, and abatement/removal records</p> <p>SEE ALSO: Asbestos Training (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Building is demolished</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p> <p><i>NOTE: If building is sold, transfer records to new owner</i></p>	<p><u>Retention</u></p> <p>29 CFR 1910.1001 (j)(3)(ii)</p>
1632.30	<p>Hazardous Materials Management (1 of 3)</p> <p>Records related to hazardous materials, including biowaste</p> <p>SEE ALSO: Asbestos Management Plan (above)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 years Ω</p> <p>THEN: Destroy</p>	
1632.5	<p>Hazardous Materials Management (2 of 3)</p> <p>Records concerning receipt, maintenance, and disposal of radioactive material</p> <p>SEE ALSO: Asbestos Management Plan (above)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
1632.3	<p>Hazardous Materials Management (3 of 3)</p> <p>Records concerning hazard mitigation plans</p> <p>SEE ALSO: Asbestos Management Plan (above)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.



RC No.	Record Types	Disposition Instructions	Citation
1633.30	<p>Safety Data Sheets</p> <p>Forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency</p>	<p>RETAIN UNTIL: Materials have been disposed of according to manufacturer’s instructions</p> <p>PLUS: 30 years</p> <p>THEN: Destroy</p> <p><i>NOTE: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where they were used, and when they were used is retained the required 30-year period</i></p>	<p><u>Retention</u></p> <p>29 CFR 1910.1020 (d)(1)(ii)(B)</p>

16.3

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.4 Insurance

DEFINED: Records documenting agency insurance policies for equipment, facilities, and property.

SEE ALSO: Employee insurance and fringe benefit plans are under HUMAN RESOURCES.

16.4

RC No.	Record Types	Disposition Instructions	Citation
1641.1	<p>Certificates of Insurance</p> <p>Records concerning certifications provided by Department of Insurance to state agencies verifying insurance coverage; includes certificates and correspondence</p> <p><i>NOTE: The specific agency receiving certification is record owner</i></p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	
1642.10	<p>Insurance Policies (1 of 2)</p> <p>Records concerning automobile and other liability insurance policies purchased by agency; also includes insurance audits, claims reports, surveys, endorsements, and waivers</p> <p>SEE ALSO: Insurance and Fringe Benefits Plans and Programs (HUMAN RESOURCES)</p> <p><i>NOTE: For any policies acquired by the Department of Administration or the Department of Insurance on behalf of other agencies, the insured agency is record owner</i></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy*</p>	
1642.1	<p>Insurance Policies (2 of 2)</p> <p>Records concerning property/casualty, State Property Fire Fund, and other property insurance policies purchased by agency; also includes insurance audits, claims reports, surveys, endorsements, and waivers</p> <p>SEE ALSO: Insurance and Fringe Benefits Plans and Programs (HUMAN RESOURCES)</p> <p><i>NOTE: For any policies acquired by the Department of Administration or the Department of Insurance on behalf of other agencies, the insured agency is record owner</i></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.



RC No.	Record Types	Disposition Instructions	Citation
1643.6	<p>Self-Insurer Certifications</p> <p>Records concerning certificates of self-insurance for workers' compensation</p>	<p>RETAIN UNTIL: Termination of policy and settlement of all claims</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>G.S. § 97-180</p>

16.4

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.5 Office Safety and Security

DEFINED: Activities concerning the security of agency offices, equipment, facilities, vehicles, and personnel. Includes activities documenting routine inspections of agency equipment, facilities, personnel, and procedures.

SEE ALSO: Building floor plans are under ASSET MANAGEMENT. Records concerning employee requests for reasonable accommodations are under HUMAN RESOURCES; employee-specific certifications and OSHA records are under Personnel Management under HUMAN RESOURCES. Inspections conducted to gauge the compliance of another entity with established regulations and protocols are under MONITORING AND COMPLIANCE.

16.5

RC No.	Record Types	Disposition Instructions	Citation
1651.S	Emergency Drills and Equipment Tests Test records for fire suppression equipment, defibrillators, respirator fit, and other emergency equipment; also includes records concerning agency emergency and fire drills	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1652.S	Employee Security Records Records concerning the issuance and return of keys, identification cards, passes, etc., for employees	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1653.S	Fire, Health, and Safety Records Reports, logs, and other related records documenting agency safety measures	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1654.3	Fuel Oil Storage Tank Records Site investigations, reports, corrective actions, repairs, and other related records	RETAIN UNTIL: Permanent tank closure PLUS: 3 years THEN: Destroy	<u>Authority</u> 40 CFR 280.34 <u>Retention</u> 40 CFR 280.74
1655.S	Inspections – Department of Insurance Health and safety inspections of agency facilities by the Department of Insurance; includes plumbing, electrical, fire, and other systems	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> G.S. § 58-31-40

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Disposition Instructions	Citation
1656.S	<p>Loss Control Inspection Reports</p> <p>Self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1657.2	<p>Reasonable Accommodations</p> <p>Records concerning agency efforts to provide reasonable accommodation to the general public under Title II of the Americans with Disabilities Act, Title VII of the Civil Rights Act, and the 1973 Rehabilitation Act; includes constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, resolutions, and solutions to access problems</p> <p>SEE ALSO: Civil Rights Records (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>42 USC 12132</p>
1658.<	<p>Surveillance Recordings</p> <p>Surveillance system reports and recordings of public spaces, public facilities, or public assets; includes fixed and mobile cameras (e.g., drones)</p> <p>SEE ALSO: Correctional Facilities Security Recordings (LAW ENFORCEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy*</p> <p><i>NOTE: If recording becomes evidence in a personnel investigation or litigation, transfer to appropriate unit or authority</i></p>	
1659.<	<p>Workplace Security Records (1 of 3)</p> <p>Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel; includes visitors' registers and logs tracking access to facilities or resources</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy</p>	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.



RC No.	Record Types	Disposition Instructions	Citation
1659.5	<p>Workplace Security Records (2 of 3) – Department of Natural and Cultural Resources</p> <p>Records concerning dive logs maintained by the Department of Natural and Cultural Resources that document incidences of decompression sickness</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
1659.1	<p>Workplace Security Records (3 of 3) – Department of Natural and Cultural Resources</p> <p>All remaining dive logs maintained by the Department of Natural and Cultural Resources</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

Records That Will Transfer to the State Records Center

The RC No. listed beside each Record Type is found on the Functional Schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

1612.5 Lost, Stolen, or Damaged Property Reports: Transfer records to the State Records Center after 2 years. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Investigation, State Bureau of	State Property Incidents Reports File	47459

1623.A Disaster Recovery Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Public Safety, Department of	Division of Emergency Management Disaster File	9800
Public Safety, Department of	Division of Emergency Management Disaster Recovery File	48026
Public Safety, Department of	Division of Emergency Management Federal Emergency Management Agency (FEMA) Region IV File	48021
Public Safety, Department of	Division of Emergency Management Fixed Nuclear Facility Emergency Notification File	37466
Public Safety, Department of	Division of Emergency Management Historical Records File	47961
Public Safety, Department of	Division of Emergency Management Project File	48028
Public Safety, Department of	Flood Risk Information System File	48425

1624.P Forest Fire Incident Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of	North Carolina Forest Service Fire Reports File	2672