

16. Risk Management

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

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Few Risk Management records have archival value, although many record types have long retention periods (e.g., some Disaster Recovery records [RC No. 1624] 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. 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 These record types, such as Employee Security Records (RC No. 1652), should be destroyed in office when they are superseded or obsolete.

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

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

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

16.1 Accidents, Incidents, and Damage
DEFINED: Activities related to the investigation and resolution of accidents or incidents that occur on or involve agency property or personnel. Also includes documentation of damage to agency property.
 SEE ALSO: HUMAN RESOURCES; LEGAL

RC No.	Record Types	Description	Disposition Instructions	Citation
1611.3+	Accident/Incident Reports	accident or incident reports involving agency customers (adults)	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	
	SEE ALSO: Tort Claims	accident or incident reports involving agency customers (minors)	RETAIN UNTIL: Minor reaches age of 21 THEN: Destroy*	
	 SEE ALSO: Workers' Compensation Program Claims	accident or incident reports involving agency employees (including contractors) that do not result in workers' compensation	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 97-92(b)
		accident or incident reports that do not result in claims or official action	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
1612.1	Lost, Stolen, or Damaged Property Reports	visitor reports of property lost or stolen at agency; reports and employee narratives of vandalism to agency property	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
1612.5		SBI property incident investigation reports	RETAIN UNTIL: Complete PLUS: 5 years Ω THEN: Destroy*	<u>Authority</u> G.S. § 143B-920

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16.2 Emergency Management

DEFINED: Activities coordinating agency disaster plans and recovery.

SEE ALSO: INFORMATION TECHNOLOGY; PUBLIC ASSISTANCE

16.2

RC No.	Record Types	Description	Disposition Instructions	Citation
1621.S 	Agency Disaster Planning SEE ALSO: Disaster Recovery Backups	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 Continuation of Operations Plans (COOP) and Business Continuity Plans (BCP)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> G.S. § 143B-1331 <u>Confidentiality</u> G.S. § 132-1.7
1622.1	Alerts	messages of the Emergency Alert System distributed via television, radio, weather radios, and cell phone services; also includes wireless emergency alerts	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
1623.3	Declarations	records concerning disaster and emergency notifications, declarations, and rescissions issued by the Governor	PERMANENT (archival) ∞	
1624.3	Disaster Recovery	records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
1624.P		administrative records documenting major agency disaster recovery efforts and evaluating their efficacy	PERMANENT	
1624.P		SEE ALSO: PUBLIC ASSISTANCE records concerning disaster recovery efforts coordinated by the Governor's office or the Division of Emergency Management	PERMANENT (archival) ∞	

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RC No.	Record Types	Description	Disposition Instructions	Citation
1625.<	Emergency Responses	recordings, printouts, and logs of telephone, radio, dispatch, 911 emergency calls or texts, and computer-aided dispatch (CAD) systems incoming and outgoing communications; includes time, date, location, and contents of call, name of unit sent to scene, and other related information	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy (if not made part of a case file)* <i>NOTE: If records are made part of an official investigation, transfer to relevant authority.</i>	
1626.P	Fire Incident Records <i>NOTE: Follow federal retention and disposition instructions for fires occurring on federal land.</i>	Forest Service case files for fire investigations	PERMANENT (appraisal required)	
		Forest Service final fire reports	PERMANENT (appraisal required)	

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16.3 Hazardous Materials Management

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

SEE ALSO: HUMAN RESOURCES

16.3

RC No.	Record Types	Description	Disposition Instructions	Citation
1631.1	Asbestos Management Plan SEE ALSO: Asbestos Training	risk assessments, management plans, and abatement/removal records	RETAIN UNTIL: building is demolished PLUS: 1 year THEN: Destroy <i>NOTE: If building is sold, transfer records to new owner.</i>	Retention 29 CFR 1910.1001(j)(3)(ii)
1632.3	Hazardous Material Management	records concerning hazard mitigation plans	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
1633.5	SEE ALSO: Asbestos Management Plan	records concerning receipt, maintenance, and disposal of radioactive material	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1633.30		records related to hazardous materials, including biowaste	RETAIN UNTIL: Complete PLUS: 30 years THEN: Destroy Ω	

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1633.30	Safety Data Sheets	forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency	<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>
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16.4 Insurance

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

SEE ALSO: HUMAN RESOURCES

16.4

RC No.	Record Types	Description	Disposition Instructions	Citation
1641.1	Certificates of Insurance	records concerning certifications provided by DOI to state agencies verifying insurance coverage; includes certificates and correspondence (NOTE: specific agency receiving certification is records owner)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
1642.1	Insurance Policies SEE ALSO: Insurance and Fringe Benefits Plans	records concerning automobile, property/casualty, State Property Fire Fund, and other insurance policies purchased by agency; also includes insurance audits, claims reports, surveys, endorsements, and waivers (NOTE: For any policies acquired by DOA or DOI, that agency is records owner.)	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy*	
1643.5	Releases and Waivers	records concerning releases and waivers of agency liability	RETAIN UNTIL: Termination of release/waiver PLUS: 5 years THEN: Destroy*	
1644.6	Self-Insurer Certifications	records concerning certificates of self-insurance for workers' compensation	RETAIN UNTIL: Termination of policy and settlement of all claims PLUS: 6 years THEN: Destroy*	<u>Authority</u> G.S. § 97-180

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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.

16.5

SEE ALSO: HUMAN RESOURCES

RC No.	Record Types	Description	Disposition Instructions	Citation
1651.S	Emergency Drills and Equipment Tests	test records for fire suppression, defibrillator, 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 of keys, identification cards, passes, etc. to 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	health and safety inspections of agency facilities by DOI, including plumbing, electrical, fire, and other systems	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> G.S. § 58-31-40
1656.S	Loss Control Inspection Reports	self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1657.5	Occupational Safety and Health Administration (OSHA)	records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms; include ergonomic assessments for employees (NOTE: specific agency is records owner for records generated by DOL assessments)	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 29 CFR 1904.33 29 CFR 1904.44

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1658.2	Reasonable Accommodations SEE ALSO: Civil Rights Records	records concerning agency efforts to provide reasonable accommodation under Title II of the Americans with Disabilities Act, including 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	RETAIN UNTIL: Closed PLUS: 2 years THEN: Destroy*	<u>Authority</u> 42 USC 12132
1659.<	Workplace Security Records	records concerning the security of agency offices, facilities, vehicles, equipment, and personnel; includes visitors' register and logs tracking access to facilities or resources	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy	
1659.<		surveillance system reports and recordings	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy <i>NOTE: If recording becomes evidence in a personnel investigation or a lawsuit, transfer to appropriate authority.</i>	

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