



***Scheduling Guide for
State Agency Records Liaisons***

Department of Cultural Resources
Division of Archives and Records
(State Archives of North Carolina)
Government Records Section

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Purpose and Scope

Scheduling Guide for State Agency Records Liaisons

This publication is designed to guide you as a state agency employee through the steps of creating, updating, and using Program Records Retention and Disposition Schedules in your office.

In accordance with the Archives and History Act (NCGS 121) and the Public Records Law (NCGS 132) of the *General Statutes of North Carolina*, the Department of Cultural Resources (DCR) assists agencies in the inventory and proper management of their public records. The Government Records Section (GRS) of DCR utilizes this statutory authority to collaborate with state agencies in the creation of Program Records Retention and Disposition Schedules (hereafter, program schedules). Program schedules list the public records series created, received, and maintained in the offices of the state agencies of North Carolina. They describe the records' value and disposition instructions. Records dispositions may involve destruction or transfer to State Archives custody in a permanent trust for the public.

Compliance with your program schedule assures that records of continuing value are retained and those no longer of value are destroyed. N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section 510 explains how to apply these schedules. Errors and omissions in individual record series do not invalidate approved schedules. All provisions of these schedules remain in effect until they are officially superseded.

The Government Records Section will assist with any office that is being closed where no successor office is designated to assume the duties and responsibilities of the closing office. Records management analysts and archivists will work with the office to assess the value of its records, and make appropriate provisions for short or long-term storage in the State Records Center (SRC). Archival records will be identified, and scheduled for transfer to the custody of the State Archives. The records schedule will reflect the finality of the transfers.

Roles

The Chief Records Officer [agency]

Each state agency assigns a Chief Records Officer (CRO) to serve as the primary point of contact with the Department of Cultural Resources' Government Records Section (GRS). The CRO should be a senior manager or an executive with a thorough knowledge of the mission, operations, and records of the agency.

The CRO:

- Maintains an active, continuing program for the economical and efficient management of the records of the agency
- Coordinates the work between the records liaisons and GRS records management analysts
- Assures that public records are kept in safe and secure locations
- Assists in the timely transfer of inactive records to the State Records Center
- Identifies essential agency records, especially those that protect the rights and interests of citizens.
- Works with agency IT to ensure that digital recordkeeping methods comply with DCR best practices

The Records Liaison [agency]

The Records Liaison is an agency employee with detailed knowledge of the operations and records of a division, section, or unit.

Records liaisons:

- Advise the records management analyst on the subject nature of their office's records
- Coordinate with the CRO on the creation and revision of records schedules applicable to their office
- Create an inclusive inventory of their office records
- Appraise records for retention, transfer, and disposition

The Records Management Analysts [GRS]

Government Records Section (GRS) records management analysts provide uniform public records guidance to state agency employees. They are trained to appraise and analyze the operations of government in order to ensure the preservation of an adequate record of agency missions, organization, and statutory obligations.

The analyst:

- Provides expert guidance on records lifecycle maintenance from creation, use, and inactivity, to disposition
- Edits the final draft text of each records schedule to be reviewed and approved by GRS and DCR administration
- Trains agency employees on records management topics such as the Public Records law, digital recordkeeping, and confidentiality

State Agency Services [GRS]

Certain classes of government records must be retained for a significant period of time after they become inactive. In order to ensure that agencies can meet such retention requirements, the State Agency Services Unit (SASU), housed in the State Records Center (SRC), provides solutions to agency space constraints. The SASU is the logistical arm of the state agency records management program. Records stored offsite in SRC facilities remain in the custody of the agency. The general public cannot view these records without written permission from the agency.

The SASU:

- Sells supplies required to store records at the SRC
- Transfers records from agency offices to SRC storage
- Coordinates with the DCR Imaging Unit to have agency records microfilmed
- Retrieves records in SRC storage for agency use
- Destroys records that have completed their scheduled retention period, upon written agreement from the custodial agency
- Prepares archival records for transfer to State Archives custody for permanent preservation
- The unit supervisor reviews all records retention and disposition schedules

Archivists [GRS]

The Records Description Unit archivists manage the intellectual control of state agency records of permanent value that have been transferred to the custody of the State Archives of North Carolina. Agency records that are transferred to the archives are made accessible to the public by Records Description Unit archivists. A vital component of the records scheduling process is the identification of appropriate archival documentation of the state of North Carolina to ensure its permanent preservation. On the other hand, records sometimes must

be reappraised to determine if they are indeed *not* archival and that their subsequent permanent preservation would divert resources away from more valuable records.

The Records Description Unit:

- Physically inventories, arranges, and describes transferred state agency records of permanent value
- Provides reference services to agencies and the general public
- Publishes catalog records and collection guides (“finding aids”)
- The unit supervisor reviews all records retention and disposition schedules

Anatomy of Records Retention and Disposition Schedules

General vs. Program Records Schedules

Records retention and disposition schedules are mandated by NCGS 121 and 132. They document the agreement between agencies and DCR for the retention and disposition of the public records of state government agencies. State agency employees follow two DCR-issued records retention schedules. The *General Schedule for State Agency Schedules* (General Schedule) is broadly applicable throughout state government. A program schedule lists the records that are unique to the operations of your office. Each group (series) of records is described and given specific disposition instructions. See Appendix 3 for a list of disposition instructions.

General Schedule for State Agency Records

The General Schedule describes records commonly found in most state offices. It provides standards for retention and disposition that apply to all agencies. None of these records may be transferred to the State Records Center. All records on the General Schedule (with the exception of Item G1: E-Mail Messages File and Item G47: Web Site File) may be destroyed according to the disposition instructions without further authorization from the Department of Cultural Resources.

Program Records Retention and Disposition Schedules

Program records schedules are developed collaboratively between the agency and the GRS. The schedule depends on an accurate records inventory. Records are appraised for their use and value and appropriate disposition instructions are assigned, such as transfer to the State Records Center for inactive storage or to the State Archives for permanent preservation.

Program records schedules may be modified in the following ways:

- **Update:** When the schedule is more than 10 years old or needs edits to more than half of the records series (items), an analyst will help you comprehensively revise the schedule.
- **Amendment:** When fewer than half of the records series (items) need to be edited, you may request an amendment that addresses only those items.
- **Transfer:** When offices move within a department or from one agency to another, the analyst will revise your schedule to reflect these changes.
- **Termination:** When offices cease operations, their public records must transfer to the custody of another office or agency, which may be the State Archives, if there is no successor agency.

Signature Page

The signature page describes the purpose of the records schedule, defines the terms for its use, and documents who has authorized the use of the schedule. Signatories typically include the agency CRO, manager of the custodial office, an appropriate section chief or division head, the administrative head of the affected agency, the Director of Archives and Records (also known as the State Archivist and Records Administrator), and the Secretary of the Department of Cultural Resources. Once all the relevant parties have signed, the schedule is approved and effective, granting your office the authority to destroy records under the provisions of the Public Records Law (NCGS 132). The effective date of the schedule and the initials of the records analyst who drafted the document appear at the bottom of the signature page.

**DEPARTMENT OF THE SECRETARY OF STATE
CERTIFICATION AND FILING DIVISION
UNIFORM COMMERCIAL CODE SECTION**

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 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. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. 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.

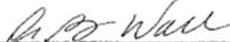
The Department of the Secretary of State and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "administrative/reference value ends." The Department of the Secretary of State hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Cultural Resources to destroy these records.

The Department of the Secretary of State and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Department of the Secretary of State agrees to comply with all policies, standards, and best practices published by the Department of Cultural Resources regarding the creation and management of electronic records.

E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (Issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any e-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records 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 Department of the Secretary of State agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

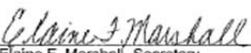
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March 26, 2013 MAH

Figure 1: Signature Page for Uniform Commercial Code Section

By signing the signature sheet to the retention schedule, your agency is agreeing to:

- Destroy records that have met their retention period using one of the methods of destruction listed in the NC Administrative Code, 07 NCAC 04M .510. These methods of destruction include: burning, shredding, dissolution in acid, or selling as waste paper.
- Destroy (i.e. shred, pulverize) confidential records in such a manner that the records cannot be practicably read or reconstructed.
- Transfer records with archival disposition instructions to the State Archives in accordance with the schedule.
- Establish and enforce minimum retention periods for records with the disposition to destroy the records when “administrative/reference value ends”. These periods will be defined through the establishment of internal policies that set the length of retention for administrative and reference value.
- Comply, as applicable, with Executive Order 12 on the retention of e-mail.
- Comply with DCR policies, standards, and best practices regarding the creation and management of electronic records, including their long-term and/or permanent preservation. These publications are available on our website at <http://www.ncdcr.gov/archives/ForGovernment/DigitalRecords>

Records Series (Items)

A file grouping of records that are related as the result of being created, received, or used in the same activity. Records series may be derived from a filing system. Records series are also known as “items” or “files.” Records series (see Figure 2) consist of an item number (yellow) generated from the Government Records database, a title (orange), a description of the records (blue), and the disposition instructions (green) for the records series (see Appendix 3 for the standard Disposition Instruction List).

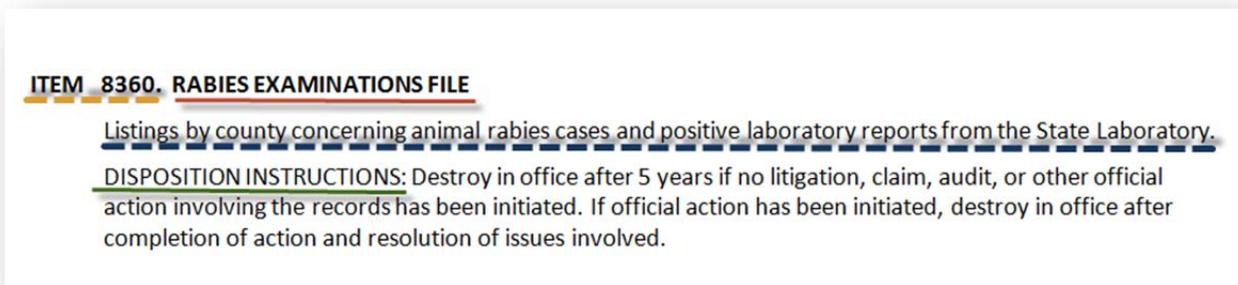


Figure 2. Sample Records Series.

Item Number

The records series (item) is a unique identifier assigned by the records management analyst. Consequently, low-value numbers (e.g. 819) were identified on schedules earlier than higher-value numbers (e.g. 49293). For tracking purposes, even if a records series changes offices or departments, it retains its item number.

Title

Series titles name groups of records and end with the word “File.” Use descriptive series titles so that both employees who use the named records and those that may inherit them down the line will be able to easily identify them. Some interesting file titles have included the Hydrilla File (Item 44659), the 300 Applications File (Item 41968), or the Direct Fluorescent Antibody Test for *Treponema Pallidum* File (Item 44503).

Record Series (Item) Description

Records series (item) descriptions include the function, role, and contents of a file. Each description should follow the “Records concerning...File includes...” formula, where the first sentence explains the subject nature of the series and the next sentence lists the record types included. If a records series contains confidential records, then it must be noted at the end of the item description.

Disposition Instructions

Essentially, disposition instructions explain how long to keep particular records in your office. Records may be kept permanently in your office, destroyed in office, microfilmed and destroyed, transferred to the State Records Center temporarily, or transferred to the custody of the State Archives for permanent preservation. Records involved in official action such as audits, claims, or lawsuits must be maintained for the duration of that action, even if the disposition instructions end while the action is in progress. Your agency’s legal counsel should provide guidance on how to abide by the disposition instructions once the action is completed.

Forms

- RC-2: Transfer Request Form – allows records to be transferred to the SRC for storage
- RC-14: Reference Request Form – allows agencies to receive records from storage for use
- 23X: Notice of Destruction of Records – requests the agency’s agreement to destroy records currently in SRC storage
 - No record in SRC storage is destroyed without written agreement from the custodial office.*
- Public Series Listing Forms – helps the agency collect useful information about a records series to be added to its program records retention and disposition schedule
- Amendment to Program Records Retention and Disposition Request Form – helps the agency compile information on existing records series that need to be edited or deleted.

Writing a Retention and Disposition Schedule

Step 1: Gather Documentation

General State Agency Schedule -

http://www.ncdcr.gov/Portals/26/PDF/schedules/GeneralSchedule_StateAgencies.pdf

Program Schedule - <http://www.stateschedules.ncdcr.gov/>

State Records Center (SRC) holdings and services history – contact your analyst

<http://www.ncdcr.gov/archives/ForGovernment/ServicesandTraining.aspx>

Statutes and regulations – <http://www.ncdcr.gov/archives/ForGovernment/LawsAndGuidelines.aspx>

Your goal is to survey the current status of the records schedules appropriate to your office. You are looking for:

- Whether the *General Schedule* is being applied appropriately in your office. Are managers trying to have their travel reimbursements for the past 10 years scanned and stored permanently? (Probably not the best use of this resource.) Is the office destroying leave documentation at the end of the fiscal year? (The *General Schedule* requires leave records be kept for 5 years.)
- Whether the organizational hierarchy as described on the program records schedule has changed. Have there been any changes in the administrative levels of your office from the time the records schedule was last signed? For example, the Government Records Section was known as the Government Records Branch

from 2000-2013. The Division of Public Health moved from the Department of Human Resources to the Department of Environment, Health, and Natural Resources in 1989, and then to the Department of Health and Human Services in 2000.

- Items that can be removed from the schedule. Records series (items) with disposition instructions that begin with “Item discontinued” or “Function and records transferred” will be removed during updates, but not amendments, provided that no records under the old schedule remain at the State Records Center.
- Records that are not found in your established program schedule. New groups of records created in an agency can be added to the schedule through either the amendment or the update process.
- The transfer history of records scheduled to be sent to SRC storage. If the transfer history has been inconsistent, look into why. Is space adequate to hold records through the entire retention period? Has experience shown that the retention period is too long? Has it simply been forgotten that transfers should take place? Routine transfers are important for space allocation planning and, in the case of archival records, are often crucial in guaranteeing as complete a historical record as practicable.
- How often does staff use records while they are in storage at the SRC? The services history will show how many times someone in your agency has needed to access a record series (item).
- Work done by state government is usually guided by the North Carolina *General Statutes* and Administrative Code. You may also have further responsibilities outlined by the *United States Code* or the Code of Federal Regulations (CFR). You will need to provide that information to your analyst, particularly when those rules inform decisions about confidentiality and retention.

Step 2: Inventory the Records in Your Office

Assessing the current environment

- Assess the storage conditions of your office. Have there been facility issues that should be remedied before the situation deteriorates?
- With the *General Schedule* and your program schedule in hand, identify all records series in the office. All records in use by the office should appear on one of those two schedules. If you find a record series that needs to be added to the schedule, make a note to discuss it with your analyst.
- Identify records on either schedule that have been stored longer than their stated retention period.
 - If the scheduled destruction date has already passed, destroy the records as soon as possible. You do not need further consent of the Department of Cultural Resources to abide by the provisions of the *General Schedule* or a currently effective program schedule. However, if the disposition instructions seem inappropriate, discuss the issue with your records analyst before destroying the affected records.
 - If the destruction date has not passed, but the records should have been transferred to the SRC, call the Records Center for assistance. We will take these records as long as their scheduled destruction date is more than a year away. If the scheduled destruction date is less than a year away, we reserve the right not to accept that portion of the records series (item).
 - Records intended to be transferred to the custody of the State Archives at any date should be transferred as soon as appropriate under the schedule, provided the appraisal is expected by both your agency and Government Records to remain archival. Your analyst may discuss the series with the head of the Records Description Unit to determine if archival retention will continue to be appropriate.

- Analyze the transfer and services histories. These reports test the effectiveness of current disposition instructions. If it turns out you never need access to records in inactive storage, can the retention period be shortened? On the other hand, if you often need access to your inactive records, are the records truly inactive? Any disposition instruction can be changed, even currently archival ones.

Analyzing change

- The Public Series Listing Form (99S) helps you collect the information about the records series (items) in your office that your analyst will need to update your program schedule. This form is required for permanent records (whether paper or electronic) and long-term digital records (10+ years).
- Has the way you create and maintain your records changed? Did you once use a form, but now enter the same information into a database? If so, you will need to update the retention instructions so that they reflect your current practice.
- When DCR agrees with your office that some of your records have permanent value, it is taking on a perpetual obligation for the maintenance of those records. Regardless of format, this is an expensive and resource-intensive promise. Accordingly, we have to be very selective in applying that appraisal. We will need your assistance to justify an evaluation of permanent value.
 - Describe the value of these records to the agency, to other parts of state government, or the public at large.
 - Consider your use of records that are 10, 20, 50 years old - or older. Is it a common or rare need?
 - When you do need older records, is it to satisfy a public records request or to solve an internal problem (we will lose this lawsuit unless we can find what we need)?
- Take note of each electronic archival (permanent) record series (item). Discuss with your analyst how you can electronically transfer these series to the State Records Center (SRC) for transfer to the custody of the State Archives.
- Review all statutory references. Statutes and regulations change. For example, what was once NCGS 17A is now NCGS 17C. Bring to your analyst's attention the laws and regulations that affect the confidentiality or disposition of your records. Even if a law only discusses the use of records over time, or retention without disposition, that can be helpful and important.
- Carefully review any disposition instructions that call for microfilming or imaging. Has the work been done routinely? Has the film been useful to the office, or is it important for other reasons? Is the accumulation of records over time too small to justify the expense?

Step 3: Drafting Schedules

As you draft each records series (item) you will need to:

- 1) Determine the title of the records
- 2) Describe the function or purpose of the records
- 3) Describe all records types and formats (and media) of the records series
- 4) Propose disposition instructions

Record Series Titles

- Choose wording in your title that reflects the terminology most commonly used in your office. All of the following are effectively equivalent:

Personnel File
Personnel Jackets File
Personnel (Active) File – and a separate Personnel (Inactive) File
Personnel (Active and Inactive) File
Inactive Personnel File
Department Personnel File

Purpose and Function (Description)

- The description provides a fuller understanding of the role this records series (item) plays in the work of the office. Note how the description in this example supplements the generic title.

ITEM 14250. CLOSED CASES FILE

Records concerning each closed case involving the Division of Motor Vehicles (DMV). File includes records used in preparing, processing, and officially closing each case. Amended 06-14-2012

- The description is almost always phrased “Records concerning...” This provides uniformity to the items across schedules, but can be altered when appropriate.

Contents and formats (Description)

- The phrase “File includes...” will begin a list of the record types in a records series (item) being described.

Some common types include:

Correspondence	Photographs
Complaints	Publications
Annual reports	Minutes
Investigative reports	Drafts
Legislative reports	Audio or video recordings
Laboratory reports	Performance evaluations
Grant applications	Workshop evaluations
Grant decision letters	

ITEM 2425. INVESTIGATIVE CASES FILE

Records concerning criminal investigations conducted by State Bureau of Investigation special agents. File includes case initial/identifications reports, investigative reports, polygraph reports, intrabureau correspondence, laboratory reports, final 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 Investigative Cases Database (Electronic) File (Item 38124). (State Bureau of Investigation personnel will prepare and arrange records for microfilming prior to boxing records for transfer to the State Records Center. File is restricted by G.S. 132-1.4.) (This is an essential agency record.) Amended 09-19-2012

- If a records series contains confidential records, then it must be noted at the end of the Item description. Remember that NCGS 132 presumes that all records are available for public inspection, so only those records described in state or federal law as confidential are to be withheld from public access. Having a confidentiality citation listed in the records schedule provides notice to the custodian and to any requestor of the records that they are restricted from public access.
- Including records formats is equally important.

ITEM 42155. LONG RANGE PLANNING FILE

Records in paper and electronic formats concerning long-range planning for the division. File includes drafts, hearing notes, correspondence, and other related records. File also includes audio tapes of hearings.

- Identifying formats also helps us plan record transfers to State Archives custody, as applicable. Any microfilm in agency custody (either in your offices or in SRC storage) should be described, as well.

ITEM 1802. CERTIFICATES OF LIVE BIRTH FILE

Official paper and microfilmed copies of certificates of birth for each individual born in the state. Each certificate lists date and place of birth, sex, name(s) of parent(s), and other related information. Data is entered into the Vital Records Automated System (VRAS) Database (Electronic) File, Item 49486. (Comply with applicable provisions of G.S. 130A-93 regarding confidentiality of information and eligibility for receipt of certified copies.) (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Destroy in office confidential health information after statistical processing. Microfilm in agency remaining records to state standards and guidelines as issued by the Division of Historical Resources after all reviews and statistical processing have been completed. Transfer original copy (silver-halide) of microfilm to the State Records Center for permanent storage in the State Archives vault. A duplicate copy of microfilm will be retained in the agency permanently. Transfer microfilmed original certificates to the State Records Center after 100 years for immediate transfer to the custody of the State Archives.

- Explicitly note the existence of e-mail in any applicable record series.

ITEM 49254. DIVISION DIRECTOR'S CORRESPONDENCE FILE

Records in paper and electronic formats, including e-mail, received or sent by the Director concerning the implementation, management, and administration of the division. File includes correspondence with staff and Commission, licensees, state and federal agencies, including law enforcement agencies. (Comply with applicable provisions of G.S. 53-99 and G.S. 53B (Financial Privacy Act) regarding confidentiality of records)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 3 years. Paper records will be held for agency in the State Records Center for 3 additional years and then transferred to the custody of the Archives. Electronic records, including e-mail, will be transferred immediately to the custody of the Archives. Contact the Government Records Branch, Electronic Records Unit, prior to the transfer of electronic records.

Disposition Instructions

- When writing disposition instructions, start with the table in Appendix 3. It includes the instructions that are the most commonly applied.
- Records should stay in your office as long as they are needed. Only inactive records should be transferred to the SRC for storage.
- When you alter the disposition instruction for a records series (item) with records in SRC storage, you must discuss with your analyst how those records currently held in the SRC should be disposed of.

ITEM 2957. INACTIVE STATE PROJECTS (REPORTS AND CORRESPONDENCE) FILE.

Project-related correspondence and reports documenting state projects involving no federal funds. File includes contracts; contract, project, and departmental correspondence; contractors' claims; work orders; consultants' agreements; agreements; and information concerning public hearings and contractors' insurance. Amended 10-24-2011

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after notification of final estimate payment. Records will be held for agency in the State Records Center 3 additional years and then destroyed. Records currently held for agency in the State Records Center as of 10/24/2011 will be destroyed 3 years from date received.

Tracking administrative changes

- When records are moved to a different administrative unit (within the agency or to a different department), the disposition instructions document that transfer. There are several ways this transfer can occur:

- Consolidation of records series (items). Sometimes, separate records series (items) are combined within the same office. Only one of the series will be maintained on the schedule. The other will be discontinued.

ITEM 17723. DEVELOPMENT PLANNING GRANTEES FILE

Records concerning closed out development planning programs administered by municipal and county governments. File includes applications, reports, program compliance documentation, and other related records.

DISPOSITION INSTRUCTIONS: Function and records transferred to Community Block Grant (CBDG) Grantees File (Item 17719).

ITEM 17378. LOCAL PROGRAMS CORRESPONDENCE FILE

Reference copies of correspondence to and from counties concerning their air quality programs.

DISPOSITION INSTRUCTIONS: Records transferred to Air Quality Subject File (Item 17358).

- Responsibility for the records is moving between offices. The records series (item) will need to be added to the schedule of the receiving office. The records series (item) will remain on this schedule until the next update, when it will be removed. The disposition instructions will begin with “Function and records transferred to...”

ITEM 8131. MIGRANT HEALTH PROGRAM FILE

Budget sheets concerning contracts and memorandums of understanding with local health department consultants. File includes other migrant health program information.

DISPOSITION INSTRUCTIONS: Function and records transferred to the Office of the Secretary, Office of Rural Health Services.

(within the agency)

ITEM 8154. DRIVER MEDICAL EVALUATION-FINISHED CASES FILE

Correspondence and forms concerning individuals required to have a medical evaluation before a driver's license is issued. File includes drivers' medical evaluation forms, medical report forms, discharge summaries from hospitals or mental health clinics, Medical Review Board correspondence, and pertinent records from the Division of Motor Vehicles. (Comply with applicable provisions of G.S. 130A-12 regarding the confidentiality of medical records in the possession of Department of Health and Human Services or local health departments.)

DISPOSITION INSTRUCTIONS: Function and records transferred to the Department of Transportation, Division of Motor Vehicles.

(from one agency to another)

Discontinued Items

- “Item discontinued” in a disposition instruction means that no records described by that records series (item) exist in the custody of the creating agency. Records may have already been transferred to the State Archives, but those records are no longer in the agency’s custody.
- As long as any records remain in the office or in SRC storage, we will use language similar to “Records no longer being created.”

ITEM 1508. SENATE CALENDAR BOOK FILE

Official copies of Senate calendar ledgers. Ledgers include names of senators and bill numbers for bills the senator introduced and a numerical index of legislation introduced carrying duplicate of action on bill cover. Amended 12-15-2012

DISPOSITION INSTRUCTIONS: Records no longer being created. Transfer all records to the State Records Center for immediate transfer to the custody of the Archives.

- In the event that your office no longer creates certain records series, and no longer has any such records in existence (either in your office or at the SRC), then the disposition should read “Item discontinued. All records destroyed.”

ITEM 4065. CONSOLIDATED FORM 990 FILE

Completed Form 990 tax forms, authorizing the commission to include individual credit unions in consolidated financial reports.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

- Your schedule may describe a records series (item) that has fallen into disuse. If any records are in SRC storage, the State Agency Services Unit will attempt to fully dispose of the records (whether by destruction or transfer to the custody of the State Archives) before the schedule is complete. When “Item discontinued” has been used appropriately in the schedule, the next update of the records schedule will not include that records series (item). As you review your current schedule note any items that currently contain this language. Your analyst will confirm with the head of State Agency Services that any holdings in SRC storage have been fully disposed of.

Considerations for Digital Records:

- Refer to the [State Archives website](http://www.ncdcr.gov/archives/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines) for digital records resources: www.ncdcr.gov/archives/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines. In addition, an excellent resource is www.digitalpreservation.ncdcr.gov.
- Digital records that will be kept more than 10 years need to be described on a Public Records Series Listing (99s) form.
- If it has been determined that a digital record has archival (permanent) value, then you must include the appropriate disposition instruction to have the electronic records transferred to the State Archives. Unlike paper records, digital records are not eligible for temporary storage at the State Records Center. You will need to use the following disposition instructions. (“Transfer electronic records after x years to the State Records Center for immediate transfer to the custody of the Archives.”)
- Is your office planning any imaging projects? Points of consideration include file formats, file naming conventions, how your office intends to use the scanned images, and whether your office wants to keep the scanned paper records or have them destroyed. The disposition of scanned images needs to be described in the disposition instructions. You will need to prepare an electronic records policy from these DCR publications:
[*Sample Electronic Records and Imaging Policy for Use by Local and State Agencies*](#)
[*Guidelines for Managing Trustworthy Digital Public Records*](#)
- Determine if there are any electronic records (stand-alone databases, document management systems, or other collections of records) in your office that are not listed on the schedule. Does your office contribute to a larger database supported by the central IT group that holds their records? Also, does your office contribute to a database that is hosted elsewhere or is part of a larger state or national effort? For records series (items) that are solely a database with no related paper records, then the title of the item should include the words “Database (Electronic) File.”

ITEM 48102. LICENSE INFORMATION DATABASE (ELECTRONIC) FILE

Electronic records concerning licensee information and procedures for licensing applicants. Electronic file includes names of applicants; application information including applicants' qualifications and references; qualified applicants' log; test results; information on payment histories (examination fees, renewal, and reinstatement fees); register of licensees; status of licenses; expired licenses; disciplinary actions; and other related data. Data is entered into this database from Permanent Register of Licensees File (Item 20890), Expired Licensees File (Item 20891), Licensee Renewal File (Item 20892), Qualified Applicants File (Item 31195), and contains information formerly entered in Qualified Applicants (Electronic) File (Item 31194) and Qualified Applicants Log File (Item 31196). (File maintenance and backup procedures conducted by office personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

Style

- Spell out all acronyms the first time they are used in an item title and description. The full name and acronym must then be repeated for each additional item where it pertains.

ITEM 47424. HISTORICALLY UNDERUTILIZED BUSINESSES (HUB) VERIFICATION DENIALS FILE

Records in paper and electronic formats concerning vendors who have been denied HUB designation. File includes letters of denial.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 1 year.

- Use Arabic numbers when indicating numerical values.

ITEM 29707. SPECIAL PROJECTS AND PROGRAM FILE

Records in paper and electronic formats concerning special literary projects and programs initiated by the agency. File includes project information, recipients of project funds, reports, correspondence, photographs, legislative issues affecting artists, and other related records. File also includes materials and publications from out-of-state arts organizations.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

- Remove any references to “erase” or “erase/destroy” in disposition instructions for the destruction of electronic records – only use “destroy.”

GRS Review Process for Schedule Drafts

Once you and the analyst have written, reviewed, and finalized a draft retention schedule for your office, the schedule is ready to go through the GRS internal review process. The number of record series (items), the formats (e.g. paper, electronic), and the complexity of the items contained in the draft contribute to how long it may take GRS reviewers to review the schedule. Agency staff review the schedule with the following considerations:

- Consistency of language and application
- The transfer history of all records series (items) currently held in SRC storage
- Appraisal of any records series (item) identified as archival
- Whether digital records identified as long-term or permanent are maintained in such a way that ensures future access

After the schedule is reviewed and concerns are clarified, both the Director of the Division of Archives and Records and the Secretary of the Department of Cultural Resources approve its use. The signed schedule is then sent to the agency's Chief Records Officer for approval and signatures by Agency Administration. Once the schedule is signed by both DCR and the Agency, it is officially approved for agency use.

APPENDIX 1: Public Records Series Listing Forms and Instructions

The Public Series Listing Form helps the agency collect useful information about a records series to be added to its program records retention and disposition schedule.

You need to complete this form...

- If there are new items to be added, then you will fill out a 99S form for each record series (item). Your agency's analyst will guide you in how to fill out the form.
- If you have a long-term or archival (i.e., a record having permanent value) electronic record that will be retained longer than 10 years, then you need to complete a 99S. You may need to have your IT staff assist with supplying some of the necessary information.
- Minor changes (such as changes to the listing of items or changes that can be easily edited directly on the schedule draft) do not require filling out the 99S or the Amendment to Program Retention and Disposition Schedule Request. These types of changes can be noted on your copy of the retention schedule.
- Each existing record series that needs major modifications or needs to be deleted should have an Amendment to Program Records Retention and Disposition Schedule form filled out.

Forms are available on our website at <http://www.ncdcr.gov/archives/ForGovernment/Forms>

APPENDIX 2: Digital Recordkeeping Documentation and Guidelines

The DCR publication *Guidelines for Managing Trustworthy Digital Public Records* provides guidance to state agencies for establishing methods and procedures for creating and maintaining authentic records in digital formats that continue to be accessible for the retention period prescribed in your agency's retention schedule.

Agencies that maintain electronic records with long-term or permanent disposition instructions must complete an *Electronic Records and Imaging Policy*. This policy should be crafted by the agency business unit, so that it is tailored to the agency's specific electronic records management practices wherever applicable, and should be as detailed as possible. Agencies are encouraged to use the DCR-published *Sample Electronic Records and Imaging Policy for Use by Local and State Agencies* as a template.

These publications are available on our website at

<http://www.ncdcr.gov/archives/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines.aspx#digpres>

APPENDIX 3: Disposition Instruction List

Disposition Instructions

Disposition instructions explain how long to keep your office's records and what to do with them – keep them permanently, destroy them, or transfer them to the State Records Center (SRC). If the records are subject to audit or other legal action, this will be noted in the disposition instructions.

Routine Disposition Instructions

Retain in office permanently.
Destroy in office after * year(s).
Destroy in office when * value ends.
Destroy in office when released from all audits.
Destroy in office when superseded or obsolete.
Destroy in office * year(s) after released from all audits.
Destroy in office after * year(s) 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.
Destroy in office * year(s) after termination of agreement/contract 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.

Electronic Records

Update in office routinely. Retain in office permanently.
Update in office routinely. Destroy in office after * year(s).
Update in office routinely. Destroy in office when reference value ends.
Transfer electronic records after * years to the State Records Center for immediate transfer to the custody of the Archives.

<p>Destroy electronic records in office * year(s) after case is closed 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.</p>
<p>Retain electronic records in office permanently. Comply with standards and policies issued by N.C. Department of Cultural Resources regarding the preservation of permanent electronic records. Transfer remaining paper records to the State Records Center after * years. Records will be held for agency in the State Records Center * additional years and then transferred to the custody of the Archives.</p>
<p>Update electronic records in office routinely. Retain in office electronic records permanently. Destroy in office paper records after * year(s) 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.</p>
<p>Scan records in office. Destroy in office paper copies of scanned records after all quality control procedures have been completed. Retain in office electronic records permanently. Comply with standards and policies issued by the N. C. Dept. of Cultural Resources regarding the preservation of permanent electronic records.</p>
<p>Scan records in office. Destroy in office paper copies of scanned records when all quality control procedures have been completed. Transfer security copy of digital records to an off-site location for backup storage. Retain digital copy in office permanently.</p>

Transfer to the State Record Center

<p>Transfer to the State Records Center after * years. Records will be held for agency in the State Records Center * additional years and then destroyed.</p>
<p>Transfer to the State Records Center after * years. Records will be held for agency in the State Records Center * additional years and then transferred to the custody of the Archives.</p>
<p>Transfer paper records to the State Records Center after * years. Records will be held for agency in the State Records Center * additional years and then transferred to the custody of the Archives. Transfer electronic records after * years to the State Records Center for immediate transfer to the custody of the Archives.</p>
<p>Transfer * to the State Records Center after * years. Records will be held for agency in the State Records Center * additional years and then transferred to the custody of the Archives. Destroy in office remaining records after* year(s).</p>

Personnel Records

Transfer to the State Records Center 5 years after employee terminates service. Records will be held for agency 25 additional years and then destroyed.

Microfilm

Transfer to the State Records Center after * year(s) to be imaged. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Paper records will be destroyed in the State Records Center after imaging.

Transfer to the State Records Center after * year(s) to be imaged for the Archives. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Paper records will be destroyed in the State Records Center after imaging. A copy of the microfilm will be sent to the agency for permanent retention.

Transfer to the State Records Center after * year(s) to be imaged for agency use. Agency will be responsible for cost of microfilm production. Paper records will be destroyed in the State Records Center after imaging. Destroy microfilm in agency when * value ends.

Transfer to the State Records Center after * year(s) to be imaged. Agency will be responsible for cost of microfilm production. Agency will be responsible for cost of microfilm production. Paper records will be destroyed in the State Records Center after imaging. Microfilm will be stored at the State Records Center for agency * years and then destroyed.

Transfer paper records to the State Record Center * year(s) after termination of service to be imaged and then returned to the agency. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be stored in the State Records Center to be destroyed after * year(s). Unindexed digital images will {may} be purchased by the agency at time of film creation. Destroy in office returned paper records immediately. Destroy digital images in agency after * year(s).

Transfer electronic records to the State Records Center after * year(s) for conversion into microfilm. Agency will be responsible for cost of microfilm production. After the completion of the microfilm production, the silver-halide original microfilm will be transferred to the custody of the Archives.

Minutes

Transfer signed (original) governing board minutes to the State Records Center after ___ year(s) to be imaged and then returned to agency. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Retain signed (original) governing board minutes in office permanently.

Transfer a duplicate copy of the official signed governing board minutes to the State Records Center after __ year(s) to be imaged. Agency will be responsible for cost of microfilm production. After completion of imaging and production of the microfilm, the silver-halide original microfilm will be transferred to the custody of the Archives. Paper records will be returned to agency after imaging. Retain signed (original) governing board minutes in office permanently.

Transfer minutes to the State Records Center after * years for immediate transfer to the custody of the Archives. Destroy in office remaining records when reference value ends.

Item Discontinued

Item discontinued. All records destroyed.

Records no longer being created. Transfer to the State Records Center after * year(s). Records will be held for agency in the State Records Center * additional years and then *.

Records no longer being created. Transfer to the State Records Center immediately. Records will be held for agency in the State Records Center * additional years and then *.

APPENDIX 4: Records Center Services

The State Agency Services Unit provides three types of service (more detailed information available in the State Records Center (SRC) Handbook):

- Transfers: Moving records from agency offices to SRC storage
- Reference: Providing access to records in SRC storage
- Disposition: Abiding by the scheduled disposition instructions for the destruction or archival transfer of records in SRC storage

Transfers

On an annual basis, your agency should review records in your offices and collect records eligible for transfer. Call the Records Center at (919) 807-7370 to begin the transfer process. Records transfers require the following:

- An approved program records retention and disposition schedule. *General Schedule items will not be accepted for transfer.* Program schedule items eligible for transfer must contain disposition instructions that include "Transfer to the State Records Center."
- Records in boxes purchased from us. We require use of the supplies we provide so that the boxes will fit on our shelves, the tape will stick to the boxes (but not the shelves), and the labels will have our barcodes on them. Call us if you have records that will not fit in a regular box.

Supply charges are:

- Letter boxes - \$1 each (12" x 15" x 10.5", also called a cubic foot box)
- Paper tape strips - \$0.10 each (one per box)
- Pre-printed labels - \$0.02 each (one per box; generated from our database)
- A Transfer Request Form (RC-2), generated from our database.

Once you have boxed your records according to our procedures, you will need to request an appointment with us. Our staff will come to offices inside Raleigh. If you are located outside the city limits, you must deliver your records to the SRC. If you are in Raleigh, and still prefer to bring your records to the SRC, we will be glad to work with you.

Reference

The very simple point behind storing most records is so that people can use them. We provide reference primarily to the agency that created the records. We can also assist third parties who express an interest. Any third party will be directed to your offices to receive written permission to examine records in agency custody in SRC storage.

Disposition

No charge for destruction is currently being levied by the SRC's recycling contract vendor (as of April 1, 2013).

Under future contracts, this charge may be levied by the recycling contractor.

APPENDIX 5: Frequently Asked Questions

Is government e-mail considered a public record?

Yes. Records created in the course of public business are considered public records *regardless of format*. Agency staff should be strongly cautioned that government e-mail is a part of the public record and that they have no privacy rights when using government e-mail at any level.

Can I use my private e-mail for work-related conversations that are private?

Any e-mail you send or receive “pursuant to law or ordinance in connection with the transaction of public business” is a public record (NC GS 132-1 (a)). The location of that public record is not relevant. Using your privately-maintained e-mail account for public business can expose that account to the review of authorized officials.

How should e-mail records be managed?

Public records in the form of e-mails must be managed according to Public Records law. Like public record paper documents or other tangible media, e-mails cannot be destroyed without the permission of the Department of Cultural Resources (DCR), which grants such permission through its Records Retention and Disposition Schedules, commonly referred to as "schedules." These schedules generally determine the minimum period of time that each e-mail must be kept based on its content, rather than applying a blanket rule. An exception to this rule is Executive Branch state agencies, which are subject to Executive Order 18 (Gov. Perdue, July 7, 2009) and Executive Order 12 (Gov. McCrory, May 21, 2013). Together, these executive orders require all executive branch state agency e-mails to be retained at least 5 years. The General Schedule for State Agency Records acknowledges these special requirements in its first item, E-Mail Messages File, which encourages state agencies not covered by the executive orders to follow similar retention procedures. As part of its e-mail service, the Office of Information Technology Services (ITS) offers a solution for state agencies to automatically retain e-mails for 5 years. Any agency using the e-mail service offered by ITS automatically has their messages retained for a minimum of five years.

Agencies may also want to consider ways in which their systems are inadvertently retaining e-mail longer than necessary. Many agencies include e-mail files in their standard system backups, thereby giving old messages especially long lives as public records. Information technology personnel are urged to devise ways of handling e-mail backups separately to avoid e-mail retention periods inconsistent with similar records in other formats.

DCR has online resources concerning e-mail management:

<http://www.ncdcr.gov/archives/ForGovernment/DigitalRecords.aspx>

How fast can I get a request after I've asked for it?

Several factors are involved in our response time. We will make every effort to meet your deadline, and to keep you informed of our progress.

Will you mail records that I've requested to my office?

We are able to mail small files to offices outside of Raleigh. Offices in Raleigh will need to come to the State Records Center to pick up their requested records.

I'm a state employee, and I need records from a department I don't work for. How can I get what I need?

You are a third-party researcher. You will need to secure written permission from the agency that created the records, if the records have not been transferred to the custody of the State Archives.

APPENDIX 6: Glossary

Included among the definitions listed below are terms extracted from the Society of American Archivists (SAA) publication, [*A Glossary of Archival and Records Terminology, by Richard Pearce-Moses*](#). For additional terms search the SAA glossary at: <http://www2.archivists.org/glossary>.

Amendment to Program Records Retention and Disposition Schedule Request

Form used to amend or delete existing program records series (see Appendix 1 for more information on the form).

Archival Value

The ongoing usefulness or significance of records, based on the administrative, legal, fiscal, evidential, or historical information they contain, justifying their continued preservation or permanent retention. In general, records with archival value are estimated to make up only three to five percent of an organization's records. In most organizations, the determination of which records are considered to have archival value is made by archivists.

Confidentiality Citation

A federal or state statute or regulation restricting records from access by the public. The statutory or regulatory citation must be inserted at the end of the description portion of the records series.

Disposition

Materials' final destruction or transfer to the State Archives as determined by their appraisal.

Essential Record

Emergency-operating records immediately necessary to begin recovery of operations after a disaster, and rights-and-interests records necessary to protect the assets, obligations, and resources of the organization, as well as its employees and customers or citizens; otherwise known as vital records. Essential records typically document delegation of authority and line of succession, and include legal documents and contracts, financial records, and other rights-of-interests records.

General Schedule for State Agency Records

A records retention and disposition schedule issued by the Government Records Section covering records series common to all state agencies. The official schedule is located on the Government Records Section website.

Historical Value

The usefulness or significance of records for understanding the past. The importance of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or evidential information they contain; archival value.

Inactive Records

Records that are no longer used in the day-to-day course of business, but which may be preserved and occasionally used for legal, historical, or operational purposes.

Inventory

The process of surveying the records in an office, at the series level using the 99s form (see Public Records Series Listing Form) resulting in a list of records series (items) to be captured in a records retention schedule.

Permanent Records

Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs intended to be preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creation.

Program Records Retention Schedule

A records and disposition retention schedule listing the office's unique records series which the office's programs, functions, and transactions.

Public Records Series Listing Form (99s)

Form used to amend existing or create new records series and to identify databases or other long-term (10 years or more) or archival electronic records series (see Appendix 1 for more information on the 99s form).

Records Series

A group of similar records that are arranged according to a filing system and that are related as the result of being created, received, or used in the same activity. Records series for state agencies are also known as "items" or "files."

Record Type

Can refer to a distinctive class of records defined by their function or use. Examples include deeds, accounting ledgers, and minutes. Record type can also be a class of record defined by their style, subject, physical characteristics, or form. Examples include moving images, digital images, photographs, microfilm, and paper.

Retention Schedule

A document that identifies and describes an organization's records, usually at the series level, provides instructions for the disposition of records throughout their lifecycle.

Reference Value

The usefulness or significance of records based on an office's research or reference purposes. Records that have only reference value are eligible for destruction once their usefulness to the office has expired.

Schedule Amendment

A revision of a records retention schedule amending fewer than 50% of the total items in the schedule.

Schedule Update

A revision of an existing records retention schedule where all items are reviewed and more than 50% are modified. The term also includes the creation of a new records retention schedule.

Self-Warranty Form

A form issued by the Government Records Section certifying that the agency will follow proper guidelines and practices to ensure that electronic records retained by an agency for longer than 10 years or permanently will be retrievable and readable for the length of their retention term as set forth in the records schedule.

APPENDIX 7: GRS Records Management System (SCHEDS/FAIDS/SMICRO)

The GRS maintains a set of databases to manage the text of schedules (SCHEDS), the records stored in the State Records Center (FAIDS), and the microfilm copy of state agency records (SMICRO). These databases are only accessible by employees of the Division of Archives and Records.

SCHEDS

- Stores the text of all schedules that are currently effective
- Provides some basic history of schedules
- Organizes all schedules by the hierarchy of state government

FAIDS

- Provides the history of records stored at the SRC since 1985 (and older, in some cases)
- Documents the planned and final disposition of records transferred to the SRC
- Maintains the current location of all records in SRC storage
- Documents records transferred to the custody of the State Archives

SMICRO

- Provides the history of microfilm work done by Archives & Records since 1985
- Maintains the current location of all microfilm in Archives & Records storage
- Documents film transferred to the custody of the State Archives