

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY SHERIFF'S OFFICE



Issued By:



North Carolina Department of Natural and Cultural Resources  
Division of Archives and Records  
Government Records Section

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## County Sheriff's Office Records Retention and Disposition Schedule

The 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 do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the agency or official having custody of them without further reference to or approval of either party to this agreement. The local government 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. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

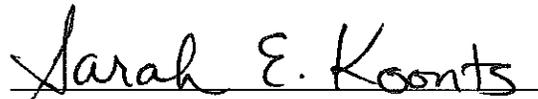
This local government agency and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods that allow these records to be destroyed when "reference value ends." The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." If a local government agency does not establish internal policies and retention periods, the local government agency is not complying with the provisions of this retention schedule and is not authorized by the Department of Natural and Cultural Resources to destroy the records with the disposition instruction "destroy when reference value ends."

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

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

### APPROVAL RECOMMENDED

\_\_\_\_\_  
County Sheriff



Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Chairman, Bd. County Commissioners



Susan W. Kluttz, Secretary  
Department of Natural and Cultural Resources

County: \_\_\_\_\_

## EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may only destroy public records with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your agency is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your office forever. In other cases, the retention period may be "destroy in office when reference value ends." An agency may have reference copies of materials, meaning "a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter" (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, "destroy when reference value ends."
- ✓ E-mail is a record as defined by G.S. § 121-5 and G.S. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all agency employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials view the tutorials that are available online through the State Archives website in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming services for the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver negative (original) in our security vault. There is a nominal fee for filming and duplicating film. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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### ***Q. What is this “records retention and disposition schedule”?***

- A.** This document is a tool for the employees of local government agencies across North Carolina to use when managing the records in their offices. It lists records commonly found in agency offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between your agency and the State Archives of North Carolina.

This schedule serves as the inventory and schedule that the State Archives of North Carolina is directed by G.S. § 121-5(c) and G.S. § 132-8 to provide. It supersedes all previous editions, including all amendments.

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### ***Q. How do I get this schedule approved?***

- A.** This schedule must be approved by your governing body for use in your agency. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.
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### ***Q. Am I required to have all of the records listed on this schedule?***

- A.** No, this is not a list of records you must have in your office.
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### ***Q. What is “reference value”?***

- A.** Items containing “reference value” in the disposition instructions are generally records that hold limited value, which is typically restricted to those documenting routine operations within the office. A minimum retention period should be established by the office for any items containing the phrase “destroy in office when reference value ends” in the disposition instructions.
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### ***Q. Do the standards correspond to the organizational structure of my agency?***

- A.** Records series are grouped into standards to make it easier for users to locate records and their disposition instructions. You may find that the groupings reflect the organizational structure of your agency, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your agency.
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### ***Q. What if I cannot find some of my records on this schedule?***

- A.** Sometimes the records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately.
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### ***Q. What are public records?***

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:

“Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

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**Q. *Is any person allowed to see my records?***

**A.** Yes, except as restricted by specific provisions in state or federal law. G.S. § 132-6 instructs:

“Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

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**Q. *What about my confidential records?***

**A.** Not all government records are open to public inspection. Exceptions to the access requirements in G.S. § 132-6 and the definition of public records in G.S. § 132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

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**Q. *Am I required to make available to the public copies of drafts that have not been approved?***

**A.** Yes, even if a report, permit, or other record has not been finalized, it is still a public record subject to request. Any record that is not confidential by law must be provided when a request is received, whether it is “finished” or not.

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**Q. *What do I do with permanent records?***

**A.** Permanent records should be maintained in the office that created the records, forever. They must also have a preservation duplicate, which is either a paper or microfilm copy. See the Human-Readable Preservation Duplicates policy from the North Carolina Department of Cultural Resources (<http://archives.ncdcr.gov/Portals/26/PDF/guidelines/Humreadabledupspolicy.pdf>).

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**Q. *What is historical value?***

**A.** Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call a Records Management Analyst for further assistance in assessing historical value.

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**Q. *What if I do not have any records?***

**A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are public records. Even if your records are not the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

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**Q. *May I store our unused records in the basement, attic, shed, etc.?***

**A.** Public records are public property. Though we encourage agencies to find places to store records that do not take up too much valuable office space, the selected space should be dry, secure, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems while remaining readily available to your staff and the public.

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**Q. *Our old records are stored in the attic, basement, or off-site building, etc. Are we required to provide public access to these records?***

**A.** Yes, as long as the records are not confidential by law. You should also be aware that confidentiality can expire.

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***Q. Aren't all of our old records at the State Archives of North Carolina?***

- A.** Probably not. The State Archives of North Carolina collects only very specific types of records from county offices. Contact a Records Management Analyst for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

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***Q. I found some really old records. What should I do with them?***

- A.** Call a Records Management Analyst. We will help you examine the records and assess their historical value.

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***Q. Can I give my old records to the historical society or public library?***

- A.** Before you offer any record to a historical society, public library, or any other entity, you must contact a Records Management Analyst. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

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***Q. Who can I call with questions?***

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

## AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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**Q. Why is there an asterisk in the disposition instructions of so many items on this schedule?**

**A. No record involved in a pending audit, legal, or other official action may be destroyed before that audit or action is resolved.**

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold must be preserved and thus must not be destroyed until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the agency requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the agency is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule.

We have used an asterisk (\*) in the disposition instructions to mark records series that are commonly audited, litigated, or may be subject to other official actions. However, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal, or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS: PERFORMANCE**, page 2, item 7, and **AUDITS: FINANCIAL**, page 16, item 5.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the agency should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.

## TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>1</sup>

According to North Carolina General Statutes § 121 and § 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Schedule for State Agency Records, their office’s Program Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

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### ***Q. What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?***

- A.** Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the General Schedule for State Agency Records or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

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### ***Q. What about research materials, drafts, and other working papers used to create a final, official record?***

- A.** Drafts and working papers are materials, including notes and calculations, gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved, and may be destroyed after final approval, if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents which may be destroyed after final approval include:

- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

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<sup>1</sup> *A Glossary of Archival and Records Terminology*, Richard Pearce-Moses (2005)

Working papers supporting certain financial, legal, and other mission-critical functions, however, may continue to have value even after the final, official copy has been approved. To retain these records appropriately, consult the General Schedule for State Agency Records or your office's Program Records Retention and Disposition Schedule.

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***Q. What if I have forms designed and used solely to create, update, or modify records in an electronic medium?***

- A.** If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

See also the State Archives of North Carolina's guidance on digital signatures found at the following link: [http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic\\_signature\\_policy.pdf](http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic_signature_policy.pdf)

## LEGEND FOR RECORDS SCHEDULE

This Records retention and disposition schedule applies to records in all media, unless otherwise specified.



– symbol designating that one or more records in this series may be confidential or may include confidential information.

**Item #** – an identifying number assigned to each records series for ease of reference.

**Series** – “a group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Series in this schedule are based on common functions in government offices.

**Records Series Title** – a short identification of the records in a series, based on their common function.

**Series Description** – a longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.

**Disposition Instructions** – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time.

**Citation** – a listing of references to statutes, laws, and codes related to the records series. Citations can include:

- Authority: governing the creation of records
- Confidentiality: limiting access to public records
- Retention: setting a retention period

Throughout this schedule, items that cross-reference other items within this schedule are indicated with bold, uppercase letters. If you hover your cursor over one of these items, you will see the hand tool that will enable you to click on the item to follow the link to that location.

**NOTICES OF PUBLIC MEETINGS**

Includes notices and regular meeting schedules.

See also **AFFIDAVITS OF PUBLICATION**, page 42, item 1.

Sample records series title and description with cross-reference included

***No destruction of records may take place if litigation or audits are pending or reasonably anticipated. See also AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page vi.***

**STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS**  
Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of local agencies.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES</b>	a) Retain in office official copy permanently. b) Destroy in office remaining records after 3 years.	
2.	<b>AGENDA AND MEETING PACKETS</b> Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies.  See also <b>MINUTES OF PUBLIC BODIES</b> , page 9, item 36.	a) Retain in office records with historical value permanently. b) Destroy in office other records when reference value ends.† Agency Policy: Destroy in office after _____	
3.	<b>APPLICATIONS FOR APPOINTMENT</b> Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils, and committees.	a) Destroy in office records concerning appointed individuals 1 year after expiration of term. b) Destroy in office remaining records after 1 year.	
4.	<b>APPOINTMENT REPORTS</b> Includes annual appointment reports filed with the NC Department of the Secretary of State.	Destroy in office after 2 years.	Authority: G.S. § 143-157.1
5.	<b>ASSOCIATIONS AND ORGANIZATIONS</b> Records concerning associations, organizations, groups, etc., with which the agency is involved.	Destroy in office after 2 years.	

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\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b>	Destroy in office after approval of official written minutes.	
7.	<b>AUDITS: PERFORMANCE</b> Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records.  See also <b>AUDITS: FINANCIAL</b> , page 16, item 5.	a) Retain in office reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
8.	 <b>BLUEPRINTS AND SPECIFICATIONS</b> Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related records concerning approved changes.	a) Transfer to new owner when agency relinquishes ownership of building or facility. b) Retain in office for life of structure and then destroy.	Confidentiality: G.S. § 132-1.7
9.	<b>BONDS</b> Records documenting written guarantees from a third party, including bid bonds, payment bonds, performance bonds, and surety bonds.  See also <b>BIDS FOR PURCHASE</b> , page 16, item 9, and <b>PROJECTS</b> , page 11, item 44.	Destroy in office 1 year after completion of project.	
10.	<b>BULLETINS</b>	Destroy in office when superseded or obsolete.	
11.	<b>CALENDARS OF EVENTS AND APPOINTMENTS</b>	Destroy in office when superseded or obsolete.	

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p><b>CHARTER RECORDS</b> Charter and charter proceedings related to adoption, amendment and/or repeal.</p>	Retain in office permanently.	
13.	<p><b>CITIZEN COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b> Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. Includes petitions signed by citizens requesting action or routine requests for service or information. Also includes requests for reasonable accommodation under Title II of the Americans with Disabilities Act, including survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence (including e-mail), resolutions, and solutions to access problems.  See also <b>CIVIL RIGHTS RECORDS</b>, page 29, item 3.</p>	<p>a) Transfer records as applicable to <b>LITIGATION CASE RECORDS</b>, page 32, item 15.</p> <p>b) Destroy in office informal complaints, petitions, and requests 1 year after resolution.*</p> <p>c) Destroy in office accommodation requests and complaints 2 years after resolution.*</p>	Authority: 42 USC 12132
14.	<p><b>CITIZEN SURVEYS</b> Surveys and related records addressing agency services, policies, and other concerns.</p>	<p>Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____</p>	

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† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<p><b>COMPREHENSIVE PLAN</b> Long-range plan outlining policies, guidelines, and plans for future development of the agency. Includes official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans. Also includes strategic plans as well as goals and objectives.</p>	<p>a) Retain in office official copy permanently. b) Destroy in office background surveys, studies, reports, and drafts 5 years after adoption of plan.</p>	
16.	<p><b>CONFERENCES AND WORKSHOPS</b> Records concerning conferences and workshops conducted by agency employees. Includes slides, charts, transparencies, handouts, and other related records used in presentations.  See also <b>TRAINING AND EDUCATIONAL RECORDS</b>, page 46, item 43.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 1 year.</p>	
17.	<p><b>CORRESPONDENCE AND MEMORANDA</b> Administrative and management correspondence/memoranda (including e-mail) written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.  For information on handling e-mail, voicemail, and text or instant messages, see <b>ELECTRONIC RECORDS</b>, page 83.</p>	<p>a) Transfer correspondence (including e-mail) with historical value to <b>HISTORY RECORDS</b>, page 7, item 28, after 3 years. b) Destroy routine administrative correspondence and memoranda after 1 year. c) Destroy in office remaining records after 3 years.  <i>Retention Note: The correspondence (including e-mail) of the most senior administrator has historical value and should be retained permanently.</i></p>	

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\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<p><b>CUSTOMER CALL CENTER RECORDINGS</b> Recordings of calls to customer service centers made for quality assurance and training purposes.</p>	Destroy in office after 30 days.	
19.	<p><b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles. Also includes warranties.  See also <b>BILLING AND CLAIMS</b>, page 17, item 10, and <b>GRANTS</b>, page 7, item 27.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of equipment and vehicles after 1 year.</p> <p>b) Destroy in office records documenting all other maintenance and repairs after 3 years.</p> <p>c) Destroy in office warranties 1 year after expiration.</p>	
20.	<p><b>EQUIPMENT AND VEHICLE REFERENCE RECORDS</b> Includes operation, specification, and technical manuals. Also includes brochures, bulletins, and related documentation.</p>	Destroy in office when superseded or obsolete.	
21.	<p><b>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS</b> Records documenting the assignment, request, and usage of agency assets. Also includes mileage and checkout logs, fuel consumption reports, reservation requests, authorizations, and similar records.</p>	<p>a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.*</p> <p>b) Destroy in office remaining records after 1 year.</p>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<p><b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records documenting maintenance, repair, and inspection of agency owned facilities.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities after 1 year.</p> <p>b) Destroy in office records documenting all other facility maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.</p>	
23.	<p><b>FORMS AND TEMPLATES</b> Blank forms, templates, and letterhead used to create agency records.</p>	Destroy in office when superseded or obsolete.	
24.	<p><b>FUND DRIVE AND EVENT RECORDS</b> Records documenting the promotion and organization of fund drives and other special events in which the agency participated. Include records concerning solicitations requesting and donations providing money or in-kind donations for agency programs.</p> <p>See also <b>DONATIONS AND SOLICITATIONS</b>, page 19, item 24.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records after 1 year.</p>	
25.	<b>GRANT CONTRACT APPEALS CASES</b>	Destroy in office 10 years after final action or decision.*	
26.	<p><b>GRANT PROPOSALS</b> Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.</p>	<p>a) Transfer records concerning approved grants to <b>GRANTS</b>, page 7, item 27.</p> <p>b) Destroy in office rejected or withdrawn grant proposals when reference value ends.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	<p><b>GRANTS</b> Records concerning approved federal, state, and private grants. File includes applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records.</p> <p>See also <b>GRANTS: FINANCIAL</b>, page 20, item 28.</p>	<p>a) Destroy in office 5 years after annual financial report is filed.*</p> <p>b) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.</p>	Retention: 09 NCAC 03M .0703
28.	<p><b>HISTORY RECORDS (AGENCY AND EMPLOYEES)</b> Records concerning the history of the agency and its employees. Includes published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends. † Agency Policy: Destroy in office after _____</p>	
29.	<p><b>INDICES</b> Listings of where specific information can be found. Includes index of computer databases.</p>	Destroy in office when superseded or obsolete.	Authority: G.S. § 132-6.1(b)
30.	<p><b>INTERAGENCY PROGRAMS</b> Records of programs involving more than one government agency. Includes resource materials, program information, and other related records.</p>	Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____	
31.	<p><b>INVITATIONS</b> Invitations sent and received concerning agency and external functions.</p>	Destroy in office after event occurs.	
32.	<p><b>ITINERARIES</b> Records concerning scheduled plans of agency personnel.</p>	Destroy in office after 1 year.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<b>LEGISLATION AND REGULATORY RECORDS</b> Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	
34.	<b>MAIL: UNDELIVERABLE/RETURNED</b> Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing e-mail returned for any reason.	Destroy in office after 30 days.	
35.	 <b>MAILING AND DISTRIBUTION RECORDS</b> Includes mailing and meeting notification lists, Sunshine Lists, and related documentation of transactions with the U.S. Postal Service, state courier, or private carriers.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.12 G.S. § 132-1.13

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	<p><b>MINUTES OF PUBLIC BODIES</b> Includes official and reference copies of the minutes of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards.</p> <p>See the <b>MICROFILM</b> section on page 85 for instructions on microfilming.</p> <p>See also <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b>, page 2, item 6.</p>	<p>a) Retain in office permanently official minutes of the governing board and its subsidiary boards.</p> <p>b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Destroy in office minutes of committees or subcommittees when reference value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent. † Agency Policy: Destroy in office after _____</p>	<p>Authority: G.S. § 143-318.10</p>
37.	 <p><b>MINUTES (STAFF MEETINGS)</b> Minutes of staff meetings, including all referenced and attached documentation.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records after 1 year.</p>	<p>Confidentiality: G.S. § 143-318.10(c)</p>
38.	<p><b>NOTICES OF PUBLIC MEETINGS</b> Includes notices and regular meeting schedules.</p> <p>See also <b>AFFIDAVITS OF PUBLICATION</b>, page 28, item 1, and <b>PUBLICITY RECORDS</b>, page 50, item 5.</p>	<p>Destroy in office after 1 year.</p>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39. 	<p><b>OFFICE SECURITY RECORDS</b> Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel. Includes visitors’ register; security, employee, or contractor access to facilities or resources; and surveillance system reports and recordings.</p>	<p>a) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to <b>DISCIPLINARY ACTIONS</b>, page 36, item 12. b) Destroy in office recordings not required to support known investigations or litigation after 30 days. c) Destroy in office remaining records after 1 year.</p>	Confidentiality: G.S. § 132-1.7
40.	<p><b>PARKING</b> Records concerning staff parking assignments.</p>	Destroy in office when superseded or obsolete.	
41.	<p><b>PEST CONTROL</b> Records concerning pest abatement or eradication programs overseen by the agency.</p>	Destroy in office after 3 years.*	
42.	<p><b>POLICIES AND PROCEDURES</b> Records documenting the formulation, planning, and adoption of policies, procedures, and functions of the agency and its departments. File also includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency.  See also <b>POLICIES AND PROCEDURES (PERSONNEL)</b>, page 44, item 32, and <b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b>, page 25, item 5.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.</p>	
43.	<p><b>PRICE QUOTATIONS</b></p>	Destroy in office after 1 year.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	<b>PROJECTS</b> Includes project correspondence (including e-mail), final reports, specifications, notices to proceed, cost estimates, change orders, and similar documentation.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
45.	<b>PROPERTY INVENTORIES</b> Inventories describing the type of property (including equipment and facilities), its location, and related information.	Destroy in office when superseded or obsolete.	
46.	<b>PUBLIC HEARINGS</b> Includes agendas, minutes, notices, speaker sign-up sheets, and similar documentation.	a) Retain in office minutes permanently. b) Destroy in office remaining records after 1 year.	
47.	<b>PUBLIC RECORDS REQUESTS</b> Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
48.	<b>PUBLICATIONS RECEIVED</b> Includes books, magazines, periodicals, pamphlets, brochures, journals, and newspapers, whether printed or electronic.	Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____	
49.	<b>RATE AND FEE SCHEDULES</b> Records relating to rates, fees, and regulations concerning agency services.	Destroy in office when superseded or obsolete.	

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	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	<p><b>RECORDS MANAGEMENT</b> Includes correspondence (including e-mail) with state and/or federal agencies with regards to records retention. Also includes records disposition documentation and copies of records retention and disposition schedules.</p>	<p>a) Retain in office documentation concerning the final disposition of records permanently. b) Destroy in office remaining records when superseded or obsolete.</p>	
51.	<p><b>REFERENCE (READING) FILE</b> Subject files containing informational copies of records organized by areas of interest. Also includes reference copies of documents.</p>	<p>Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	<p><b>REPORTS AND STUDIES</b> Records concerning the performance of a department, program, or project, as well as those created for planning purposes. Includes all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by an agency or prepared by consultants hired by the agency.</p> <p>See also <b>CIVIL RIGHTS RECORDS</b>, page 29, item 3, and <b>COMPREHENSIVE PLAN</b>, page 4, item 15.</p>	<p>a) Retain in office 1 copy of all annual and biennial reports permanently.</p> <p>b) Retain in office reports and studies prepared by request of an agency’s governing body or a court permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis, after 1 year.</p> <p>e) Destroy in office remaining reports and studies when reference value ends.† Agency Policy: Destroy in office after _____</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
53.	<p><b>REQUESTS FOR INFORMATION</b> Requests received and responses issued by the agency.</p> <p>See also <b>PUBLIC RECORDS REQUESTS</b>, page 11, item 47.</p>	<p>Destroy in office after 1 year.</p>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
54.	<p><b>REQUESTS FOR PROPOSALS (RFP)</b> Proposals submitted by vendors in response to requests from agency.</p> <p>See also <b>BIDS FOR PURCHASE</b>, page 16, item 9, and <b>PRICE QUOTATIONS</b>, page 10, item 43.</p>	<p>Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____</p>	
55.	<p><b>SURPLUS PROPERTY</b> Inventories and reports of agency property to be surplus.</p>	<p>Destroy in office 3 years after disposition of property.*</p>	
56.	<p><b>TRAVEL REQUESTS</b></p>	<p>Destroy in office after 1 year.*</p>	
57.	<p><b>VEHICLE REGISTRATION CARDS</b> North Carolina registration cards for vehicles in the agency fleet.</p> <p>See also <b>VEHICLE TITLES</b>, page 32, item 19.</p>	<p>Destroy in office when superseded.</p>	
58.	<p><b>WORK ORDERS</b> Includes date and location of work, cost of materials used and labor, type of work performed, and other related records regarding the repairs of equipment, facilities, and vehicles.</p>	<p>a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting completed work, follow disposition instructions for <b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b>, page 6, item 22, or <b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b>, page 5, item 19.</p>	

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**STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS**  
 Records created and accumulated concerning the managerial control, budgeting, disbursement, collection, and accounting of the agency.

*Note: Per 26 CFR 1.148-5(d)(6)(iii)(E), all records necessary to support the tax-exempt status of an agency debt issue must be retained for the life of the debt plus 3 years.*

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCOUNTS PAYABLE</b> Records concerning the status of accounts in which the agency owes money to firms or individuals.	Destroy in office 3 years after payment.*	
2.	<b>ACCOUNTS RECEIVABLE</b> Records concerning receivables owed and collected.	Destroy in office 3 years after collection.*	
3.	<b>ACCOUNTS UNCOLLECTABLE</b> Records of accounts deemed uncollectable, including supporting documentation and write-off authorization.	Destroy in office 3 years after account is determined to be uncollectable.*	
4.	<b>ANNUAL BUDGET</b> Annual budget and budget message submitted to governing board for approval.  See also <b>BUDGET REPORTS</b> , page 17, item 12.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 3 years.  <i>Retention Note: Annual budgets should be entered into the minutes of the governing board.</i>	Authority: G.S. § 159-11

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p><b>AUDITS: FINANCIAL</b> Records concerning internal and external audits. Includes reports, working papers, and related records.</p> <p>See also <b>AUDITS: PERFORMANCE</b>, page 2, item 7.</p>	<p>a) Retain in office reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.*</p>	<p>Authority: G.S. § 159-34</p>
6.	<p><b>AUTHORIZATION FORMS</b> Authorization to purchase materials.</p>	<p>Destroy in office after 3 years.*</p>	
7.	<p><b>BANK STATEMENTS, RECEIPTS, AND RECONCILIATIONS</b> Includes cash, credit and debit card, and purchasing card statements and receipts for agency purchases. Also includes reconciliation reports.</p>	<p>Destroy in office after 3 years.*</p>	
8.	<p><b>BIDS FOR DISPOSAL OF PROPERTY</b> Records concerning the disposal of surplus property. Includes information about various disposition procedures used, such as sealed bids and public auction.</p> <p>See also <b>SALES INFORMATION</b>, page 22, item 38.</p>	<p>Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*</p>	<p>Authority: G.S. § 153A-176</p>
9.	<p><b>BIDS FOR PURCHASE</b> Records documenting quotes to supply products and services. Includes advertisements, tabulations, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.</p>	<p>a) Transfer records to <b>CONTRACTS, LEASES, AND AGREEMENTS</b>, page 30, item 6.</p> <p>b) Destroy in office bid records not awarded or opened after 1 year.*</p>	<p>Authority: G.S. § 143 Article 8</p>

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>BILLING AND CLAIMS</b> Records used as the basis for payment of bills and claims for damages made by and against the agency.	Destroy in office 3 years after settlement.*	
11.	<b>BONDS, NOTES, AND COUPONS</b>	Destroy in office 1 year from date of payment.	Authority: G.S. § 159-139
12.	<b>BUDGET REPORTS</b> Includes daily detail reports and monthly budget reports. Also includes contract budget and expenditure reports and summaries of tax allocations.  See also <b>ANNUAL BUDGET</b> , page 15, item 4.	a) Destroy in office daily detail reports after 1 year.* b) Destroy in office remaining reports after 3 years.*	
13.	<b>BUDGET REQUESTS AND WORKING PAPERS</b> Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence (including e-mail), and related records.	Destroy in office after 3 years.*	Authority: G.S. § 159-10
14.	<b>BUDGET RESOLUTIONS AND ORDINANCES</b> Includes project ordinances, budget resolutions, and amendments.  See also <b>MINUTES OF PUBLIC BODIES</b> , page 9, item 36.	a) Retain official copies in the minutes of the governing board. b) Destroy in office remaining copies when reference value ends.† Agency Policy: Destroy in office after _____	Authority: G.S. § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S. § 159-15
15.	<b>CASH REPORTS</b> Status of cash. Reports include receipts, disbursements, and encumbrances.	Destroy in office after 1 year.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>CHECK REGISTERS AND STUBS</b> Registers listing for all checks written from various funds. Also includes stubs for checks written on agency accounts as well as cancelled checks.	Destroy in office after 3 years.*	
17.	<b>COST ALLOCATION PLANS</b>	Destroy in office after 3 years.*	
18.	 <b>CREDIT CARD AND DEBIT SLIPS</b> Records of payments received from customers in the transaction of agency business.	Destroy in office after 18 months.*	Confidentiality: G.S. § 132-1.2(2) G.S. § 132-1.10(b)(5)
19.	 <b>CREDIT CARD ASSIGNMENTS</b> Records of assignation of agency credit cards and purchasing cards.	Destroy in office when superseded or obsolete.*	Confidentiality: G.S. § 132-1.2(2) G.S. § 132-1.10(b)(5)
20.	<b>DEBT FINANCING</b> Includes loan agreement or promissory note, account statements, reconciliation records, requisitions, and notices of principal and interest due.	Destroy in office 3 years after entire issuance has been satisfied.*	Retention: 26 CFR 1.148-5(d)(6)(iii)(E)
21.	<b>DEPOSITS</b>	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	Authority: G.S. § 159-32
22.	<b>DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)</b>	a) Destroy in office annual reports after 3 years.* b) Destroy in office all other reports after 1 year.	
23.	 <b>DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS</b> Includes related records such as bank account numbers and routing numbers.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.10 (b)(5)

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	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p><b>DONATIONS AND SOLICITATIONS</b> Records concerning requests made to agency by outside organizations. Includes applications and other related records.</p> <p>See also <b>FUND DRIVE AND EVENT RECORDS</b>, page 6, item 24.</p>	<p>a) Destroy in office records supporting approved donations 1 year after payment.</p> <p>b) Destroy in office rejected applications after 30 days.</p>	
25.	<p><b>FACILITY SERVICE AND MAINTENANCE AGREEMENTS</b> Includes agreements negotiated with service providers. Also includes depreciation schedules.</p>	<p>a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed.</p> <p>b) Destroy in office remaining records 3 years after expiration.*</p>	
26.	<p><b>FINANCIAL JOURNALS AND LEDGERS</b></p>	<p>a) Destroy in office year-end summaries of receipts and disbursements after 3 years.*</p> <p>b) Destroy in office daily, monthly, or quarterly transaction detail journals and ledgers after 1 year.*</p>	
27.	<p><b>GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS</b> Reports produced by the North Carolina Department of State Treasurer regarding the Teachers’ and State Employees’ Retirement System (TSERS) and the Local Governmental Employees’ Retirement System (LGERS).</p>	<p>Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____</p>	

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	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	<p><b>GRANTS: FINANCIAL</b> Records concerning approved federal, state, and private grants. Includes all relevant accounting, purchasing, payroll, and financial records.</p> <p>See also <b>GRANTS</b>, page 7, item 27.</p>	Destroy in office 5 years after submission of final report.*	Retention: 09 NCAC 03M .0703
29.	<b>INVOICES</b>	Destroy in office after 3 years.*	
30.	<b>LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS</b>	Destroy in office after 3 years.*	Authority: G.S. § 159-33
31.	<b>LONGEVITY PAY</b>	Destroy in office when released from all audits.*	
32.	 <p><b>PAYROLL AND EARNINGS RECORDS</b> Records containing information such as the name, Social Security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Also includes individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.</p> <p>See also <b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b>, page 22, item 39.</p>	<p>a) Transfer records documenting personnel actions to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) Destroy in office 30 years from date of separation records necessary for retirement or similar benefits verification.</p> <p>c) Destroy in office remaining records after 3 years.*</p>	<p>Authority: 26 CFR 31.6001-1 26 CFR 31.6001-4(a) 29 CFR 516.2</p> <p>Confidentiality: G.S. § 132-1.10 G.S. § 153A-98</p> <p>Retention: 29 CFR 516.5 29 CFR 1627.3(a)</p>

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33. 	<p><b>PAYROLL DEDUCTION RECORDS</b> Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).</p> <p>Does not include tax records. See also <b>WITHHOLDING TAXES</b>, page 23, item 43.</p>	<p>a) Destroy in office deduction authorization forms when superseded or obsolete.* b) Destroy in office remaining records after 3 years.*</p>	Confidentiality: G.S. § 153A-98
34.	<p><b>PURCHASE ORDERS</b> Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.</p> <p>See also <b>GRANTS: FINANCIAL</b>, page 20, item 28.</p>	<p>Destroy in office after 3 years.* <i>Retention note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i></p>	
35.	<p><b>REFUND REPORTS</b> Reports listing returns of revenue.</p>	<p>a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.</p>	
36.	<p><b>REQUISITIONS</b> Requests for payment of parts and inventory items.</p>	<p>Destroy in office after 1 year.*</p>	
37.	<p><b>RETURNED CHECKS</b> Records concerning third party checks returned for insufficient funds.</p>	<p>a) Destroy in office official/audit copies 1 year after check is paid, collected, or is determined uncollectable.* b) Destroy in office remaining records when check is paid, collected, or is determined uncollectable.</p>	

2

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	<p><b>SALES INFORMATION</b> Records of sale of agency property and equipment.</p> <p>See also <b>BIDS FOR DISPOSAL OF PROPERTY</b>, page 16, item 8.</p>	Destroy in office after 3 years.*	
39.	<p><b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> Records documenting the work hours and attendance of employees.</p> <p>See also <b>PAYROLL AND EARNINGS RECORDS</b>, page 20, item 32.</p>	Destroy in office after 2 years.*	Retention: 29 CFR 516.6
40.	<p><b>TRAVEL REIMBURSEMENTS</b> Includes requests and authorizations for reimbursement for travel and related expenses.</p> <p>See also <b>GRANTS: FINANCIAL</b>, page 20, item 28.</p>	Destroy in office after 3 years.*	
41.	<p><b>UTILITY USAGE LOGS AND BILLS</b> Includes bills and usage logs for telephone and other utilities and related services.</p>	<p>a) Destroy in office records used for billing after 1 year.*</p> <p>b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____</p>	
42.	<p><b>VENDORS</b> Files maintained on specific vendors. Includes Federal Tax Identification Number, name and address, correspondence (including e-mail), and other related records.</p> 	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.10(b)(5)

2

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43. 	<b>WITHHOLDING TAXES</b> Records concerning taxes withheld from individual employees’ income taxes. Includes wage and income tax reports, NC Department of Revenue form NC-4, IRS forms W-2, W-3, W-4, and 1099, and similar records of withheld federal and state income taxes. Also includes IRS form 941 and other records of tax liabilities to the IRS and NC Department of Revenue.	a) Destroy in office 30 years from date of separation records necessary for retirement or similar benefits verification. b) Destroy in office remaining records after 4 years.*	Authority: 26 CFR 31.6001-4 29 CFR 1627.3  Confidentiality: G.S. § 153A-98  Retention: 26 CFR 31.6001-1

2

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**STANDARD 3: INFORMATION TECHNOLOGY (IT) RECORDS**

Information technology encompasses all activities undertaken by agency to design, develop, and operate electronic information systems. This section covers records for which Information Technology personnel are responsible, including administrative records and those used to process data and monitor and control operations.

*Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. § 132-6.1 on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.” (G.S. § 132-6.1 (c))*

ITEM #	STANDARD 3: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<b>AUDITS: SYSTEMS</b> Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-6.1(c)
2.	<b>COMPUTER AND NETWORK USAGE RECORDS</b> Records documenting usage of electronic devices and networks. Includes login files, system usage files, individual program usage files, and records of use of the Internet by employees.	Destroy in office after 1 year.	
3.	<b>DIGITIZATION AND SCANNING RECORDS</b> Records concerning imaging operations. Includes scanning and data entry quality control records and audit reports.	Destroy in office after 3 years.	

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ITEM #	STANDARD 3: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4. 	<p><b>DISASTER PREPAREDNESS AND RECOVERY PLANS</b> Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster.</p> <p>See also <b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b>, page 52, item 3.</p>	<p>a) Retain in office records documenting past disaster recovery actions permanently.</p> <p>b) Destroy in office all other records when superseded or obsolete.</p> <p><i>Note: Disaster preparedness and recovery plans should be stored in a secure, off-site location.</i></p>	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
5. 	<p><b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b> Includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy.</p>	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
6.	<p><b>INFORMATION TECHNOLOGY ASSISTANCE RECORDS</b> Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. Includes help desk assistance requests, resolution records, and related documentation.</p>	Destroy in office 1 year after work is completed.	
7. 	<p><b>NETWORK AND SYSTEM SECURITY RECORDS</b> Records documenting the security of network and system. Includes records concerning firewalls, anti-virus programs, and intruder scanning logs.</p>	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-6.1(c)
8. 	<p><b>NETWORK DIAGRAMS</b> Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations.</p>	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-6.1(c)

3

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ITEM #	STANDARD 3: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>PROJECT DOCUMENTATION</b> Records created to design, develop, control, or monitor a specific project or group of projects. Includes statements of work, assessments, maintenance agreements, and testing records.	a) Retain in office permanently records documenting data migration. b) Destroy in office remaining records 3 years after completion of project.	
10.	<b>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</b> Records documenting compliance with agency software license and copyright provisions. Includes software licenses, correspondence (including e-mail), and related documentation.	Destroy in office 1 year after software is superseded or obsolete.	
11.	<b>SYSTEM ACCESS RECORDS</b> Records documenting audit trails such as user permissions and access to information, programs, or applications within a system.	Destroy in office after 1 year.	
12.	 <b>SYSTEM DOCUMENTATION RECORDS</b> Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. Includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-1.1(g) G.S. § 132-6.1(c)

3

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ITEM #	STANDARD 3: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<p><b>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</b></p> <p>Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. Includes computer equipment inventories and service records.</p>	<p>a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year.</p> <p>b) Destroy records documenting all other equipment maintenance and repairs upon the final disposition of the equipment.</p>	
14.	<p><b>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS</b></p> <p>Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation.</p> <p>See Also: <a href="#">Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files</a>, available on the State Archives of North Carolina website.</p>	<p>Destroy in office in accordance with your office's established, regular backup plan and procedures. † Agency Policy: Destroy in office after _____</p>	
15.	<p><b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b></p> <p>Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel. Includes server environment configuration specifications.</p> <p>See also <b>WEBSITE (ELECTRONIC)</b>, page 50, item 9.</p>	<p>Destroy in office when superseded or obsolete.</p>	

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**STANDARD 4: LEGAL RECORDS**  
Official documentation created or accumulated to substantiate the rights, obligations, or interests of the agency or their individual employees or clients.

STANDARD 4: LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p><b>AFFIDAVITS OF PUBLICATION</b> Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.</p> <p>See also <b>NOTICES OF PUBLIC MEETINGS</b>, page 9, item 38.</p>	<p>a) Retain in office permanently if record provides evidence of publication.</p> <p>b) Destroy in office remaining records after 3 years.*</p>	<p>Authority: G.S. § 1-600</p>
2.	<p><b>CIVIL RIGHTS CASE RECORDS</b> Records concerning employee discrimination complaints and requests for reasonable accommodation.</p> <p>See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p>	<p>Destroy in office 2 years after final disposition of the charge or the action.*</p> <p><i>Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."</i></p>	<p>Retention: 29 CFR 1602.14 29 CFR 1602.31</p>

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ITEM #	STANDARD 4: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p><b>CIVIL RIGHTS RECORDS</b> Records concerning documentation of policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), and Title VII of the 1964 Civil Rights Act. Includes reports required by the Equal Employment Opportunity (EEO) Commission as well as facility accessibility records.</p> <p>See also <b>CITIZEN COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b>, page 3, item 13, and <b>CIVIL RIGHTS CASE RECORDS</b>, page 28, item 2.</p>	<p>a) Destroy in office reports, analyses, and statistical data after 5 years.</p> <p>b) Destroy in office affirmative action plans 5 years from date superseded.</p>	<p>Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4</p> <p>Retention: 29 CFR 1602.30</p>
4.	<p><b>CONDEMNATION RECORDS</b> Settled and pending condemnation cases.</p> <p>See also <b>ACCOUNTS PAYABLE</b>, page 15, item 1, for disposition of financial records.</p>	Retain in office permanently.	
5.	<p><b>CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT DISCLOSURE STATEMENTS</b> Completed by the elected agency officials as well as designated staff members in order to disclose an official’s status or ownership interests.</p>	Destroy in office 1 year after completion of term.	

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ITEM #	STANDARD 4: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p><b>CONTRACTS, LEASES, AND AGREEMENTS</b> Contracts and agreements for construction, equipment, property, supplies, special programs, and projects. Includes franchise agreements, hold harmless agreements, good faith effort documentation, contractor compliance monitoring, leases, and memoranda of understanding.</p> <p>See also <b>FACILITY SERVICE AND MAINTENANCE AGREEMENTS</b>, page 31, item 9.</p>	<p>a) Retain in office contracts and agreements with historical value permanently.</p> <p>b) Destroy in office sealed contract records 10 years after expiration of contract.*</p> <p>c) Destroy in office capital improvement contracts 6 years after completion, termination, or expiration.*</p> <p>d) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.*</p>	
7.	<p><b>DISCRIMINATION COMPLAINTS</b> Records concerning formal non-employee discrimination complaints filed against the agency. Includes charges made under the Americans with Disabilities Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.</p> <p>See also <b>CITIZEN COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b>, page 3, item 13, and <b>CIVIL RIGHTS CASE RECORDS</b>, page 28, item 2.</p>	<p>Destroy in office 2 years after settlement of complaint.*</p>	
8.	<p><b>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS</b> Granted to the agency.</p> <p>See also <b>ACCOUNTS PAYABLE</b>, page 15, item 1, for disposition of financial records.</p>	<p>Retain in office permanently.</p>	

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ITEM #	STANDARD 4: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>FACILITY SERVICE AND MAINTENANCE AGREEMENTS</b> Includes agreements negotiated with service providers. Also includes depreciation schedules.	c) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed. d) Destroy in office remaining records 3 years after expiration.*	
10.	<b>INSURANCE POLICIES</b> Records concerning automobile, theft, fire, and all other insurance policies purchased by agency. Also includes insurance audits, claims reports, surveys, and waivers.	a) Destroy in office policies and related eligibility records 1 year after superseded or obsolete.* b) Destroy in office other records after 3 years.	Retention: 29 CFR 1627.3(b)(2)
11.	<b>LAND OWNERSHIP RECORDS</b> Includes deeds and titles.	Destroy in office 1 year after agency relinquishes ownership of land.*	
12.	 <b>LEGAL CORRESPONDENCE</b> Correspondence (including e-mail) and related records concerning legal matters not related to specific legal cases or official opinions.	Destroy in office after 5 years. For information on handling e-mail, see <b>ELECTRONIC RECORDS</b> , page 83.	Confidentiality: G.S. § 132-1.1(a)
13.	<b>LEGAL OPINIONS</b> Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.	Retain in office permanently.	
14.	 <b>LEGAL REVIEW RECORDS</b> Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other agency matters as requested.  See also <b>LEGAL OPINIONS</b> , page 31, item 13.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after expiration of relevant statute of limitations.	Confidentiality: G.S. § 132-1.1(a)

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ITEM #	STANDARD 4: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>LITIGATION CASE RECORDS</b>  Civil suits to which the agency is a party. Includes affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.	a) Retain in office cases having precedential or historical value permanently. b) Destroy in office adjudicated cases 5 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.	Confidentiality: G.S. § 132-1.1(a)
16.	<b>OATHS OF OFFICE</b>	a) Transfer official copy to the Clerk to the Board. b) Destroy in office remaining records 3 years after expiration of term.  <i>Retention Note: The Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The Clerk to the Board maintains the original oaths.</i>	Authority: G.S. § 153A-26  Retention: G.S. § 7A-103(2)
17.	<b>ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS</b> Records documenting the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office when ordinance or resolution is no longer in effect.	
18.	<b>PRE-TRIAL RELEASE PROGRAM RECORDS</b> Records documenting supervision for defendants who do not pose a risk to the community as they await trial.	Destroy in office 3 years after trial.	
19.	<b>VEHICLE TITLES</b> Titles of agency owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	Authority: G.S. § 20-72

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**STANDARD 5: PERSONNEL RECORDS**

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of agency employees. Comply with applicable provisions of G.S. §153A-98 regarding confidentiality of personnel records.

ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABOLISHED POSITIONS</b>	Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____	
2.	<b>APPLICATIONS FOR EMPLOYMENT</b> Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. Includes applications, transcripts, resumes, letters of reference, and other related records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 43, item 30. b) Destroy in office after 2 years all remaining records concerning individuals hired. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy in office 2 years after receipt unsolicited applications/resumes, and those received after posted closing dates.	Retention: 29 CFR 1602.31

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p><b>APPRENTICESHIP PROGRAM RECORDS</b> Data regarding apprenticeship program participants. Also includes apprenticeship affirmative action plans.</p>	<p>a) Destroy in office participant records 2 years from the date of enrollment.* b) Destroy in office affirmative action plans after 5 years.</p>	<p>Authority: 29 CFR 30.8(b) 29 CFR 1602.20</p> <p>Retention: 29 CFR 30.8(e) 29 CFR 1602.21</p>
4.	 <p><b>APTITUDE AND SKILLS TESTING RECORDS</b> Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. Includes civil service examinations.</p> <p>See also <b>EMPLOYMENT SELECTION RECORDS</b>, page 39, item 17.</p>	<p>Destroy in office after 2 years.</p>	<p>Confidentiality: G.S. § 153A-98</p> <p>Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)</p>
5.	<p><b>ASBESTOS TRAINING</b> Records concerning training programs about the proper management of asbestos.</p> <p>See also <b>BLOODBORNE PATHOGEN TRAINING</b>, page 35, item 8, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b>, page 40, item 21.</p>	<p>a) Destroy in office employee-specific records 1 year after separation. b) Destroy in office remaining records when superseded or obsolete.</p>	<p>Retention: 29 CFR 1910.1001(m)(4)</p>

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<p><b>BENEFITS RECORDS</b> Records concerning life, health, accident, and disability insurance plans as well as seniority and merit systems. Includes records concerning systems in which employees can select fringe benefits from a cafeteria plan, including flexible spending plans. File also includes notifications, election and claim forms, rejection letters, and other records related to COBRA (Consolidated Omnibus Budget Reconciliation Act).</p>	<p>a) Destroy in office claims forms after 2 years.* b) Destroy in office remaining records 1 year after plan is terminated.</p>	Retention: 29 CFR 1627.3(b)(2)
7.	<p><b>BENEFITS REIMBURSEMENT PLAN</b> Dental, vision, or other benefits-related claim forms and receipts submitted by employees requesting reimbursement from the agency.</p>	<p>a) Destroy in office records concerning approved requests after 3 years.* b) Destroy in office records concerning rejected requests 6 months after decision.</p>	
8.	<p><b>BLOODBORNE PATHOGEN TRAINING</b> Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.</p> <p>See also <b>ASBESTOS TRAINING</b>, page 34, item 5, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b>, page 40, item 21.</p>	Destroy in office after 3 years.	Retention: 29 CFR 1910.1030(h)(2)(ii)

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p><b>CERTIFICATION AND QUALIFICATION RECORDS</b> Records concerning certification or qualification as required for employment, continued employment, or promotion.</p> <p>See also <b>APPLICATIONS FOR EMPLOYMENT</b>, page 33, item 2.</p>	<p>a) Transfer employee-specific records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30 if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office certificates 5 years after date of separation.</p> <p>c) Destroy in office remaining records 2 years after resolution of all actions.</p>	Retention: 29 CFR 1602.31
10.	<p><b>DIRECTORIES, ROSTERS, OR INDICES</b> Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.</p>	Destroy in office when superseded or obsolete.	
11.	<p><b>DISABILITY SALARY CONTINUATION CLAIMS</b> Forms used by disabled employees to apply for salary continuation benefits.</p>	<p>a) Transfer original forms to Local Government Employees’ Retirement System (LGERS) or Teachers’ and State Employees’ Retirement System (TSERS) for action when received.</p> <p>b) Destroy in office remaining records after 1 year.</p>	
12.	<p><b>DISCIPLINARY ACTIONS</b> Correspondence (including e-mail) and other records concerning disciplinary actions taken against employees by personnel or supervisory staff, including records documenting terminations. Includes records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	Retention: 29 CFR 1602.31

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13. 	<b>DRUG AND ALCOHOL PREVENTION PROGRAMS</b> Records concerning an agency’s alcohol misuse and controlled substances use prevention programs. Includes test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related documents.	a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug & Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years.  b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.  c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years.  d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year.  e) Destroy in office remaining records after 3 years.  <i>Retention Note: Records should be maintained in a location with controlled access.</i>	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p><b>DUAL EMPLOYMENT</b> Records concerning employees’ requests and authorizations to accept employment with another local government agency.</p>	<p>a) Destroy in office approved requests and related records 1 year after employee terminates additional employment. b) Destroy in office denied requests and related records after 6 months.</p>	
15.	<p><b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> Includes records requesting educational leave and tuition assistance, reimbursements, and other related records.  See also <b>LEAVE RECORDS</b>, page 41, item 24.</p>	<p>a) Transfer records documenting required education to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30. b) Destroy in office records concerning approved leave requests after 1 year.* c) Destroy in office records concerning denied requests 6 months after denial.* d) Destroy in office approved applications for tuition assistance 3 years after application.* e) Destroy in office approved tuition reimbursements 3 years after reimbursement.*</p>	
16.	<p><b>ELIGIBILITY RECORDS</b> Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.</p>	<p>Mandatory retention throughout the duration of an individual’s employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later.</p>	<p>Retention: 8 USC 1324a(b)(3)</p>

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<p><b>EMPLOYMENT SELECTION RECORDS</b> Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. Includes interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, and similar records.</p> <p>See also <b>APTITUDE AND SKILLS TESTING RECORDS</b>, page 34, item 4.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) Destroy in office remaining records 2 years after resolution of all actions.*</p>	<p>Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)</p>
18.	<p><b>EXIT INTERVIEW RECORDS</b> Includes feedback from employees planning to separate from the agency.</p>	<p>Destroy in office after 1 year.</p>	
19.	<p><b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b> Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA, and other related records.</p> <p>See also <b>LEAVE RECORDS</b>, page 41, item 24.</p>	<p>Destroy in office 3 years after leave ends.*</p>	<p>Authority: 29 CFR 825.110</p> <p>Retention: 29 CFR 825.500</p>

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<p><b>GRIEVANCES</b> Includes initial complaint by employee, investigation, action, summary, and disposition.</p> <p>See also <b>DISCIPLINARY ACTIONS</b>, page 36, item 12, and <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p>	Destroy in office after 2 years.*	
21.	<p><b>HAZARDOUS MATERIALS TRAINING RECORDS</b> Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.</p> <p>See also <b>ASBESTOS TRAINING</b>, page 34, item 5, and <b>BLOODBORNE PATHOGEN TRAINING</b>, page 35, item 8.</p>	Destroy in office after 5 years.	Authority: 29 CFR 1910.120(p)(8)(iii)
22.	<p><b>HEALTH CERTIFICATES</b> Includes health or physical examination reports, or certificates created in accordance with the Americans with Disabilities Act (ADA).</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) Destroy in office all other records 1 year after resolution of all actions.</p>	Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1630.14(b)
23.	<p><b>INTERNSHIP PROGRAM</b> Records concerning interns and students.</p>	Destroy in office after 3 years.	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p><b>LEAVE RECORDS</b> Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, etc. Also includes records documenting leave without pay.</p> <p>See also <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b>, page 38, item 15, <b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b>, page 39, item 19, and <b>MILITARY LEAVE</b>, page 42, item 26.</p>	<p>Destroy in office 1 year after return of employee or termination of employment.*</p>	
25.	 <p><b>MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and blood-borne pathogen exposure; medical examinations required by state or federal law; and records of injury or illness. (Does not include worker’s compensation or health insurance claim records.)</p>	<p>a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*</p> <p>b) Destroy in office records pertaining to first-aid job-related illness and injury after 5 years.</p> <p>c) Provide medical records to employees who have worked for less than 1 year at time of separation.</p> <p>d) Destroy in office remaining records 30 years after employee terminates service.</p> <p><i>Retention Note: Records must be maintained separately from an employee’s personnel jacket. If part of a worker’s compensation claim, follow disposition for <b>WORKERS’ COMPENSATION PROGRAM CLAIMS</b>, page 48, item 51.</i></p>	<p>Authority: 29 CFR 1910.1020(e)</p> <p>Confidentiality: 29 CFR 1630.14(c)(1) 29 CFR 1910.1020(d)</p> <p>Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1910.1020(d)</p>

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<p><b>MILITARY LEAVE</b></p> <p>Records concerning military leave, as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA).</p> <p>See also <b>LEAVE RECORDS</b>, page 41, item 24.</p>	<p>Destroy in office 3 years after leave ends or employee separates from agency.*</p>	<p>Authority: 5 CFR 1208</p>
27.	 <p><b>PENSION AND FRINGE BENEFITS PLANS ENROLLMENT FORMS</b></p> <p>Forms providing personal identifying data, beneficiary information, option selection, and similar information.</p>	<p>a) Transfer pension and deferred compensation enrollment forms to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) Destroy in office life, health, and disability insurance enrollment forms 4 years after termination of coverage.</p>	<p>Confidentiality: G.S. § 132-1.10</p>
28.	 <p><b>PERFORMANCE REVIEWS</b></p> <p>Information used to establish employees’ goals and primary tasks. Records used to evaluate each employee’s work performance.</p> <p>See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p>	<p>Destroy in office after 3 years.</p>	<p>Confidentiality: G.S. § 153A-98</p>
29.	<p><b>PERSONNEL ACTION NOTICES</b></p> <p>Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change, and leave.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) Destroy in office remaining records 2 years from date of record creation or the personnel action involved.</p>	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30. 	<b>PERSONNEL RECORDS (OFFICIAL COPY)</b> Official copy of personnel file maintained on each agency employee. Includes basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.  See also <b>MEDICAL RECORDS</b> , page 41, item 25.	a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that agency; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that agency; date and general description of the reasons for each promotion with that agency; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the agency; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the agency setting forth the specific acts or omissions that are the basis of the dismissal.  b) Destroy in office information necessary to verify benefits 30 years after date of separation.  c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.	Confidentiality: G.S. § 153A-98
31.	<b>PERSONNEL RECORDS (REFERENCE COPY)</b> Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 43, item 30.  b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<b>POLICIES AND PROCEDURES (PERSONNEL)</b>	a) Retain in office official copy of internal agency personnel policies permanently. b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	
33.	<b>POLYGRAPH RECORDS</b> Includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	Retention: 29 CFR 801.30
34.	<b>POSITION CLASSIFICATION, CONTROL, AND HISTORY</b> Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics. Also includes listings providing classification, titles, and position numbers.  See also <b>POSITION DESCRIPTIONS</b> , page 44, item 35.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
35.	<b>POSITION DESCRIPTIONS</b> Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years after superseded.	Retention: 29 CFR 1620.32
36.	<b>POSITION REQUISITION AND ANALYSIS RECORDS</b> Records used to fill vacant positions and request new positions.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	<p><b>RECRUITMENT RECORDS</b> Includes ads and notices of overtime, promotion, and training. Also includes employment listings.</p>	Destroy in office 2 years from date of record.	Retention: 29 CFR 1627.3(b)
38.	<p><b>RETIREMENT RECORDS</b> Includes plans and related records outlining the terms of employee pension and other deferred compensation plans.</p> <p>See also <b>PENSION AND FRINGE BENEFITS PLANS ENROLLMENT FORMS</b>, page 42, item 27.</p>	<p>a) Destroy in office records documenting deferred compensation 1 year after payment.</p> <p>b) Destroy in office pension plan records 1 year after plan is terminated.</p>	Retention: 29 CFR 1627.3(b)(2)
39.	<p><b>SECONDARY EMPLOYMENT</b> Records concerning employees’ requests and authorizations to accept employment with a private entity.</p>	<p>a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.</p> <p>b) Destroy in office denied requests and related records after 6 months.</p>	
40.	<p><b>SERVICE AWARDS AND COMMENDATIONS</b> Includes award and selection committee reports, nominations, selection criteria, and similar administrative records relating to employee recognition or incentive programs.</p> <p>See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p>	Destroy in office 2 years from date of record creation or the personnel action involved.	
41.	<p><b>SUGGESTIONS AND SURVEYS</b></p>	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	<p><b>TEMPORARY EMPLOYEE RECORDS</b></p> <p>Records concerning temporary or contractual employees who are not provided with or eligible for benefits.</p>	<p>a) If employee is an agency employee, transfer applicable records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30.</p> <p>b) If the employee is a temporary service company employee, destroy in office 5 years from date of separation.</p>	
43.	<p><b>TRAINING AND EDUCATIONAL RECORDS</b></p> <p>Includes employee-specific records (certificates, transcripts, test scores, etc.) relating to the training, testing, or continuing education of employees.</p> <p>See also <b>CONFERENCES AND WORKSHOPS</b>, page 4, item 16, and <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b>, page 38, item 15. Other required trainings are handled in <b>ASBESTOS TRAINING</b>, page 34, item 5, <b>BLOODBORNE PATHOGEN TRAINING</b>, page 35, item 8, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b>, page 40, item 21.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30, if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office remaining records after 1 year.</p>	Retention: 29 CFR 1627.3(b)(1)(iv)
44.	<p><b>UNEMPLOYMENT COMPENSATION CLAIMS</b></p> <p>Claim forms and other related records concerning unemployment compensation cases.</p>	Destroy in office after 3 years.*	
45.	<p><b>UNEMPLOYMENT COMPENSATION REPORTS</b></p> <p>Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with NC Division of Employment Security.</p>	Destroy in office after 3 years.*	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	<b>UNEMPLOYMENT INSURANCE</b>	a) Transfer original records to the N.C. Department of Commerce, Division of Employment Security, when received. b) Destroy in office remaining records after 2 years.	
47.	<b>VERIFICATION OF EMPLOYMENT RECORDS</b> Inquiries and responses concerning verification of an employee’s prior or current employment with the agency.	Destroy in office after 1 year.	
48.	<b>VOLUNTEER RECORDS</b> Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years after completion of assignment.	
49.	<b>WORK SCHEDULES AND ASSIGNMENTS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when superseded or obsolete.	
50.	<b>WORKERS’ COMPENSATION PROGRAM ADMINISTRATION</b> Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently. b) Destroy in office all other records when superseded or obsolete.	

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ITEM #	STANDARD 5: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
51. 	<p><b>WORKERS’ COMPENSATION PROGRAM CLAIMS</b> Records concerning workers’ compensation claims filed by employees’ supervisors concerning accidental injuries or illnesses suffered on the job. Includes Employer’s Report of Injury to Employee (Form 19), accident investigation reports, medical reports, claim cost reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i>, 333 N. C. 258, 425 S.E.2d 698 (1993).)</p>	<p>a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claims records to the Industrial Commission in compliance with G.S. § 97-92(a).</p> <p>b) Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form “Employee’s Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. § 97-25.1” (Form 18M) has been filed.</p> <p>c) Destroy in office remaining records 5 years after closing, in accordance with G.S. § 97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.*</p> <p>d) If official action has been initiated, transfer to <b>LITIGATION CASE RECORDS</b>, page 32, item 15.</p>	<p>Confidentiality: G.S. § 8-53 G.S. § 97-92(b)</p>

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**STANDARD 6: PUBLIC RELATIONS RECORDS**  
Official records and materials created and accumulated by internal public relations programs operated by the agency.

ITEM #	STANDARD 6: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AGENCY PUBLICATIONS</b> Publications created at agency expense.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends. † Agency Policy: Destroy in office after _____	
2.	<b>AUDIO-VISUAL RECORDINGS</b> Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings or security videos.  See also <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b> , page 2, item 6, and <b>OFFICE SECURITY RECORDS</b> , page 10, item 39.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends. † Agency Policy: Destroy in office after _____	
3.	<b>MEDIA FILE</b> Reference copies of newspaper, magazine, and other media clippings concerning the agency, agency officials, and other topics of interest.	Destroy in office when reference value ends. † Agency Policy: Destroy in office after _____	
4.	<b>POPULAR ANNUAL FINANCE REPORT</b>	a) Retain records with historical value permanently. b) Destroy in office other records superseded or obsolete.	

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ITEM #	STANDARD 6: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<p><b>PUBLICITY RECORDS</b> Records concerning overall public relations of agency. Includes advertisements, announcements, correspondence (including e-mail), photographic materials, news and press releases, and other related records.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office remaining records 2 years after obsolete.*</p>	
6.	<p><b>SOCIAL MEDIA</b></p>	See <b>APPENDIX</b> (page 84) for guidance in handling social media.	
7.	<p><b>SPECIAL EVENTS</b> Records of events organized by the agency.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 2 years.</p>	
8.	<p><b>SPEECHES</b> Speeches made by agency officials.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends. † Agency Policy: Destroy in office after _____</p>	
9.	<p><b>WEBSITE (ELECTRONIC)</b> Records created and maintained in paper and electronic formats concerning the creation and maintenance of the agency’s presence on the World Wide Web. Includes correspondence, procedures, instructions, website designs, HTML/XHTML, or other web-based file formats, and other related records.</p> <p>See also <b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b>, page 27, item 15.</p>	<p>a) Retain in office records with historical value permanently. Can be maintained as website snapshots or via Web crawler. b) Destroy in office remaining records when superseded or obsolete.</p> <p><i>Retention Note: Preserve copy of web page after every major change in design and/or content.</i></p>	

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**STANDARD 7: RISK MANAGEMENT RECORDS**

Official records created and accumulated to manage risks in the agency.

<b>STANDARD 7: RISK MANAGEMENT RECORDS</b>			
<b>ITEM #</b>	<b>RECORDS SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
<b>1.</b>	<p><b>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</b></p> <p>See also <b>WORKERS’ COMPENSATION PROGRAM CLAIMS</b>, page 48, item 51.</p>	<p>a) Transfer records resulting in workers' compensation to <b>WORKERS’ COMPENSATION PROGRAM CLAIMS</b>, page 48, item 51.</p> <p>b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.*</p> <p>c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.*</p> <p>d) Destroy in office reports that do not result in claims or official action after 3 years.</p> <p>e) Destroy in office reports of minors after minor has reached age of 21.</p>	<p>Confidentiality: G.S. § 97-92(b)</p>
<b>2.</b>	<b>ASBESTOS MANAGEMENT PLAN</b>	<p>a) Destroy in office 1 year after building is demolished.</p> <p>b) If building is sold, transfer records to new owner.</p>	<p>Retention: 29 CFR 1910.1001(j)(3)(ii)</p>

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ITEM #	STANDARD 7: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	<p><b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes background surveys, studies, reports, and draft versions of plans. Also includes records concerning the process of notifying personnel in the event of an emergency.</p> <p>See also <b>DISASTER PREPAREDNESS AND RECOVERY PLANS</b>, page 25, item 4.</p>	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7
4.	<p><b>DISASTER RECOVERY</b> Administrative records documenting recovery efforts.</p>	Retain in office permanently.	
5.	<p><b>EMERGENCY EQUIPMENT RECORDS</b> Includes test records for fire suppression, defibrillator, respirator fit, and other emergency equipment.</p>	Destroy in office when superseded or obsolete.	
6.	<p><b>EMPLOYEE SECURITY RECORDS</b> Records concerning the issuance of keys, identification cards, passes, etc., to employees.</p>	Destroy in office when superseded or obsolete.	
7.	<p><b>FIRE, HEALTH, AND SAFETY RECORDS</b> Records concerning agency safety measures. Includes reports, logs, and other related records documenting inspections of agency facilities.</p>	Destroy in office when superseded or obsolete.	
8.	<p><b>FUEL OIL STORAGE TANK RECORDS</b></p>	Destroy in office closure records 3 years after completion of permanent closure.	Authority: 40 CFR 280.34  Retention: 40 CFR 280.74

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ITEM #	STANDARD 7: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>LOSS CONTROL INSPECTION REPORTS</b> Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when superseded or obsolete.	
10.	<b>LOST, STOLEN, OR DAMAGED PROPERTY REPORTS</b> Includes citizen reports of property lost or stolen at agency. Also includes reports and employee narratives of vandalism to agency property.	Destroy in office after 3 years.*	
11.	<b>MATERIAL SAFETY DATA SHEETS</b> Forms supplied to agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufacturer’s instructions.  <i>Retention 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>	Retention: 29 CFR 1910.1020(d)(1)(ii)(B)
12.	<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)</b> Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms. Includes ergonomic assessments for employees.	Destroy in office after 5 years.	Retention: 29 CFR 1904.33 29 CFR 1904.44
13.	<b>SELF-INSURER CERTIFICATIONS</b>	Destroy in office 6 years from date of termination of policy or settlement of all claims.	

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**STANDARD 8: PROGRAM OPERATIONAL RECORDS – SHERIFF RECORDS**  
 Records received and created by a county sheriff department necessary to meet all statutory requirements. Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of law enforcement records and G.S. §153A-98 and G.S. §160A-168 regarding confidentiality of personal information of law enforcement officers.

ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p><b>ACCREDITATION RECORDS</b>                      Records concerning compliance with those standards outlined by professional law enforcement agencies’ accreditation programs.</p>	Destroy in office 1 year after accreditation is obtained, renewed, or no longer valid.*	
2.	<p><b>ACTIVITY REPORTS</b>                      Reports of officer activities on each shift or special detail worked, including activities of the Domestic Violence Unit. Includes information on occurrence of all criminal activity, complaints, arrests, traffic violations and accidents, rescue service calls, hours worked, miles traveled, location of call, type of call, time of call, papers served, and other related information. (This information is often collected by the day and month for statistical reporting and includes reports submitted to Uniform Crime Reporting Program.)</p> <p>See also <b>REPORTS AND STUDIES</b>, page 13, item 52.</p>	a) Retain in office 1 copy of all annual and biennial reports permanently. b) Retain in office reports and studies prepared by request of an agency’s governing body or a court permanently. c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years. d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis, after 1 year. e) Destroy in office remaining reports and studies when reference value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>ALARM CALL REPORTS</b> Reports completed by officers responding to alarm calls. Includes listings of alarm type, time received, time arrived, reason for activation, and other related information. May include forms completed by businesses naming emergency contacts, location of safe, and other related information.	a) Destroy in office after 30 days if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
4.	<b>ALTERNATIVE SENTENCING PROGRAMS</b> Records documenting alternative sentencing programs. May include work release and weekender service.	Destroy in office 3 years after individual leaves program.	
5.	<b>ANIMAL CONTROL RECORDS</b> Reports of animal control calls. May include information regarding animal bites, animals received from citizens, strays caught, animals taken to shelter or returned to owner, use of tranquilizer guns, and other related information.	a) Destroy in office records concerning dangerous animals when known dead or after 10 years.  b) Destroy in office records concerning animal abuse cases after 5 years.  c) Destroy in office remaining records after 1 year.	
6.	 <b>ARREST PROCESSING: TRACKING RECORDS</b> Records used to track a defendant’s time and activities while in arrest processing. May include time of arrival and time to and from each workstation.	Destroy in office 1 year after date of arrest.*	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7. 	<b>ARREST PROCESSING: DWI TRACKING RECORDS</b> Records used to track a defendant’s time and activities while in arrest processing. May include time of arrival and time to and from each workstation, time to and from the magistrate’s office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.	Destroy in office 2 years after date of arrest.*	Confidentiality: G.S. § 132-1.4
8. 	<b>ARREST REPORTS</b> Reports concerning arrests made by officers. May include complete name, alias or nickname, residence, sex, age, date of birth, physical description, offense committed, car make, license number, occupation, telephone numbers, names of witnesses, name(s) of arresting officer(s), and other related information.	a) Destroy in office 5 years from date of arrest if report is not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4
9.	<b>AUCTION RECORDS</b> Records concerning abandoned and unclaimed articles or found property sold at public auction. May include auction receipts of monies received for items sold.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10. 	<p><b>AUDIO AND VIDEO RECORDINGS</b> Tapes and digital recordings generated by mobile and fixed audio and video recording devices.</p> <p>Does not include <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b>, page 65, item 35.</p>	<p>a) Destroy in office after 30 days if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p> <p>c) If record is made part of a citizen complaint follow disposition instructions for <b>COMPLAINTS AGAINST DEPARTMENT / ADMINISTRATIVE INVESTIGATION RECORDS</b>, page 60, item 20.</p> <p>d) If record is made part of an internal investigation follow disposition instructions for <b>INTERNAL AFFAIRS CASE RECORDS</b>, page 72, item 62.</p>	<p>Confidentiality: G.S. § 132-1.4 G.S. § 153A-98</p>
11. 	<p><b>CASE HISTORY FILE: FELONIES</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports; statements of seized and returned property, interview sheets; case status reports, photographs, court orders, correspondence; officer’s notes, laboratory tests, court dispositions, audio or video recordings, and other related records.</p> <p>See also <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b>, page 65, item 35.</p>	<p>a) Destroy in office records concerning solved cases after 20 years.*</p> <p>b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).</p>	<p>Confidentiality: G.S. § 132-1.4</p>

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12. 	<b>CASE HISTORY FILE: MISDEMEANORS</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, officer’s notes, laboratory tests, court dispositions, audio or video recordings, and other related records.	a) Destroy in office records concerning solved malicious misdemeanor cases after 3 years.*  b) Retain in office records concerning unsolved malicious misdemeanor cases until solved, and then follow disposition instructions in part (a).  c) Destroy in office records concerning all misdemeanor cases not covered in (a) or (b) after 3 years.*	Confidentiality: G.S. § 132-1.4
13. 	<b>CASE HISTORY FILE: CASES NOT OFFICIALLY INVESTIGATED</b>	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.4
14.	<b>CHEMICAL ANALYSIS RECORDS</b> Records and reports generated when individuals suspected of being under the influence of or impaired by illegal drugs or alcohol are chemically tested.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if records are not made part of a case file.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<p><b>CIVIL PROCESS RECORDS</b> Records concerning civil papers processed and served by sheriff’s office. May include lists of summons, notices, subpoenas, and court orders served; lists of items seized or sold on execution; lists of judgments collected; and ejections. (Entries are usually filed numerically by case number and indexed by name).</p>	<p>a) Return originals to issuing clerk of court’s office as required by law once served, canceled, withdrawn or otherwise disposed of.</p> <p>b) Destroy in office after 3 years records concerning judgments collected and similar claims and deliveries.*</p> <p>c) Destroy in office records concerning all other civil orders including department copies of warrants, subpoenas and orders of arrest when reference value ends.† Agency Policy: Destroy in office after _____</p>	
16.	 <p><b>COMMUNICATION RECORDS</b> Recordings, printouts, and logs of telephone, radio, dispatch, 911 emergency calls or texts, and computer aided dispatch (CAD) systems incoming and/or outgoing communications. May include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.</p>	<p>a) Destroy in office after 30 days if not made part of a case file.*</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	Confidentiality: G.S. § 132-1.4
18.	<p><b>COMPOSITE INTERVIEWS</b> Summaries of interviews used to determine the physical description of suspects. May include race, sex, build, weight, eye and hair color, skin tone, weapon description, and other related information.</p>	<p>a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p> <p>b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19. 	<p><b>COMPLAINTS</b> Records concerning complaints to which a unit responded. May include logs listing name and address of victim, time, date, nature of complaint, responding officer’s name, action taken, and other related information.</p> <p>See also <b>COMPLAINTS AGAINST DEPARTMENT/ ADMINISTRATIVE INVESTIGATION RECORDS</b>, page 60, item 20.</p>	<p>a) Destroy in office 3 years after resolution if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	Confidentiality: G.S. § 132-1.4
20. 	<p><b>COMPLAINTS AGAINST DEPARTMENT/ ADMINISTRATIVE INVESTIGATION RECORDS</b> Citizen complaints against employees of the department or against the department. May include administrative investigation reports initiated within the sheriff’s office.</p> <p>See also <b>COMPLAINTS</b>, page 60, item 19.</p>	<p>a) Destroy in office records of complaints against employees of the department 3 years after resolution if not made part of an internal investigation.</p> <p>b) If record is made part of an internal investigation against employees of the department follow disposition instructions for <b>INTERNAL AFFAIRS CASE RECORDS</b>, page 72, item 62.</p> <p>c) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition.</p> <p>d) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations.</p> <p>e) Retain in office litigation case records having precedent or historical value permanently.</p>	Confidentiality: G.S. § 132-1.1(a)

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21. 	<b>CONFIDENTIAL FUNDS RECORDS</b> Records concerning the use of confidential funds utilized to pay informants, purchase contraband, or otherwise finance undercover operations for vice/narcotics and special investigations.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-1.7(c)
22. 	<b>CRIME ANALYSIS RECORDS</b> Records used to anticipate, prevent, or monitor possible criminal activity. May include crime reports, photographs, complaints, copies of citations, criminal profile information, and interoffice memoranda generated or accumulated in connection with investigations or directed patrols.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.4 G.S. § 132-1.7(a2)
23.	<b>CRIME PREVENTION RECORDS</b> Records concerning sheriff’s office and community meetings and other functions which seek to prevent or monitor possible criminal activity. May include meeting schedules and agendas and other related records.	a) Retain in office records with historical value permanently.  b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after _____	
24. 	<b>CRIMINAL HISTORY RECORDS</b> Records concerning the arrest history of individuals. May include summary sheets or cards, arrest reports, mug shots, fingerprint cards, and other related records.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<p><b>DAILY BULLETINS</b> Daily bulletins used to provide officers with information concerning stolen vehicles, missing persons, new warrants, wanted persons, and any other specific complaint or incident. May include “be on the lookout” records and forms.</p>	<p>Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____</p>	
26.	 <p><b>DETENTION FACILITY INCIDENT REPORTS</b> Detention facility incident reports. Include narratives of incidents, lists of those involved, statements and interview reports, inmates’ refusal of medical treatment, inmates’ refusal to press charges, and other related records.</p>	<p>a) Destroy in office after 3 years.* b) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition. c) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations. d) Retain in office litigation case records having precedent or historical value permanently.</p>	<p>Confidentiality: G.S. § 132-1.1(a)</p>
27.	<p><b>DETENTION FACILITY INSPECTION RECORDS</b> Inspection reports of county detention facilities. May include reports made by the N.C. Department of Health and Human Services.</p>	<p>a) Destroy in office 1 year from date of report if no violations are recorded. b) Destroy in office 1 year after corrective action was approved if violations are recorded.</p>	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	<p><b>DETENTION FACILITY OPERATIONAL RECORDS</b> Records concerning all activities occurring during shifts at detention facilities. May include end of duty (shift change reports, key and radio control lists, equipment and inmate/non-inmate housing check lists, cell inspection reports, laundry exchange and controlled property lists, tour reports, etc.) and inmate accountability (rosters, commitment and release reports, cell locations, etc.) records.</p>	<p>a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p> <p>b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____</p>	
29.	<p><b>DETENTION FACILITY PHYSICAL FORCE RECORDS</b> Reports made by any officer or employee of a detention facility who applies physical force to an inmate or arrestee.</p>	Destroy in office after 3 years.*	
30.	<p><b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES</b> Records and logs listing entries and inquiries made against DCI-NCIC networks and concerning missing persons, wanted persons, stolen vehicles or other property, and other related topics.</p>	Destroy in office 1 year after period covered by audit.*	Authority: 28 USC 534
31.	<p><b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS</b> Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.</p>	Destroy in office after 1 year.*	Authority: 28 USC 534

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<p><b>DNA SAMPLING RECORDS</b> Records documenting the collection of DNA samples from persons for qualifying offenses. May include copies of judgments. Original samples are forwarded to the State Bureau of Investigation.</p>	<p>a) Destroy in office 1 year from date sample was obtained if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	<p>Authority: G.S. § 15A-266.8</p>
33.	 <p><b>DOMESTIC VIOLENCE RECORDS</b> Restraining orders and related records.</p>	<p>a) Destroy in office after expiration of restraining order if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	<p>Confidentiality: G.S. § 132-1.4</p>
34.	<p><b>DRIVING WHILE IMPAIRED (DWI) REPORTS</b> Reports used for persons arrested for driving while impaired by alcohol and/or drugs. May include breathalyzer analysis reports.</p>	<p>a) Transfer original records to county Clerk of Superior Court’s office.</p> <p>b) Destroy in office duplicate copies when reference value ends if not made part of a case file.† Agency Policy: Destroy in office after _____</p> <p>c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35. 	<p><b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> Electronic recordings generated by audio and/or video recording devices of custodial interrogations in an investigation of a juvenile or any person in a criminal investigation related to a Class A, B1, or B2 felony or a Class C felony of rape, sex offence, or assault with a deadly weapon with intent to kill inflicting serious injury.</p>	<p>a) Destroy in office recordings of interrogations of convicted defendants 1 year after the completion of all State and Federal appeals of the conviction.</p> <p>b) Destroy in office remaining recordings of when reference value ends.† Agency Policy: Destroy in office after _____</p>	<p>Confidentiality: G.S. § 7B-3001(b)</p> <p>Authority: G.S. § 15A-211</p>
36. 	<p><b>EXPUNCTIONS</b> Records concerning the expunction of a convicted individual’s records. May include petitions, affidavits, and other related records. If the petition is approved all records relating to that case are to be destroyed in accordance with the court order.</p>	<p>Transfer Final Disposition Report to the State Bureau of Investigation once all records relating to the case are expunged.</p>	<p>Confidentiality: G.S. § 132-1.4</p> <p>Authority: G.S. § 15A-145 G.S. § 15A-146</p>
37.	<p><b>EXTRADITION CASE RECORDS</b> Records concerning the extradition of prisoners in and out of state. May include court orders, correspondence, and other related records.</p>	<p>Follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	
38.	<p><b>FEDERAL FIREARMS NOTIFICATION RECORDS</b> Copies of records and forms provided by individuals applying for certain federal firearm licenses.</p>	<p>Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____</p>	<p>Authority: 18 USC 923(d)(1)(f)(iii)</p>

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	<b>FEDERAL FORFEITURE RECORDS</b> Records concerning funds received from seized assets and records concerning expenditures made with federal forfeiture funds.	Destroy in office after 3 years.*	
40. 	<b>FIELD OBSERVATIONS</b> Reports concerning field observations of suspicious persons or vehicles. May include subject’s name, address, and physical description; date, time, and location of occurrence; reason for stop; name of officer conducting interview; and other related information.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.4
41. 	<b>FINGERPRINT CARDS</b> Records used to verify a subject’s identity. May include fingerprints and all necessary information required to identify an individual. Also includes records of latent finger and palm prints that were found at the scene of a crime without identification of suspects. Original fingerprint records are forwarded to the State Bureau of Investigation.  See also <b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b> , page 73, item 64.	a) Destroy in office duplicate records after 3 years.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4  Authority: G.S. § 15A-502
42.	<b>FORCIBLE ENTRY RECORDS</b> Reports concerning forcible entries made by sheriff’s office personnel.	Destroy in office after 1 year.	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43.	<p><b>FUGITIVE WARRANTS CASE RECORDS</b> Records concerning fugitive warrants sent to a department from another jurisdiction requesting assistance in finding an individual. May include fugitive profile and warrant.</p>	Destroy in office 1 year after case is closed.	
44.	 <p><b>IDENTIFICATION PHOTOGRAPHS</b> Photographs (mugshots) of persons arrested in association with formal investigations. May include driver’s license photos or negatives.  See also <b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b>, page 73, item 64.</p>	<p>a) Destroy in office after 3 years if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	Confidentiality: G.S. § 132-1.4
45.	<p><b>IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS</b> Records concerning individuals incarcerated in county detention facilities per the U.S. Illegal Immigration Reform and Immigrant Responsibility Act (IIRAIRA), Section 287(g).</p>	Destroy in office 3 years after individual is released or transferred from the facility.	
46.	<p><b>INCIDENT RESPONSE REPORTS</b> Reports completed by officers responding to incidents. May include victim, suspect, and witness information; damaged and stolen property reports; statement sheets; Miranda waiver forms; and other related records.</p>	<p>c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p> <p>d) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47. 	<p><b>INFORMANT RECORDS</b> Records concerning informants. May include correspondence, payment records, and other related records.</p>	<p>a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p> <p>b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 132-1.4
48.	<p><b>INMATE CLASSIFICATION RECORDS</b> Records concerning classification information gathered by the detention facility while inmates are incarcerated. May include incident reports, behavioral or disciplinary reports, interviews, classification level assigned, requested housing moves, and other related records.</p> <p>See also <b>IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS</b>, page 67, item 45.</p>	Destroy in office 3 years after inmate is released or transferred from the facility.*	
49.	<p><b>INMATE COMMITMENT RECORDS</b> Copies of judgment and commitment papers received from the Clerk of Superior Court’s office used to validate time spent incarcerated.</p>	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	<b>INMATE DEATH REPORTS</b> Reports filed by office upon the death of an inmate. A report must be sent to the county health director and N.C. Department of Health and Human Services, within five days of the death.	Destroy in office after 3 years.*	Authority: G.S. § 153A-224(b)
51.	<b>INMATE FINANCIAL RECORDS</b> Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. May include balance sheets listing inmate’s name and number, amount of funds, dates of deposits and withdrawals, and other related information.	Destroy in office 3 years after inmate is released or transferred from the facility.*	
52.	 <b>INMATE GRIEVANCE RECORDS</b> Records concerning grievances filed by inmates and actions taken.	a) Destroy in office 3 years after inmate is released or transferred from the facility.*  b) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition.  c) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations.  d) Retain in office litigation case records having precedent or historical value permanently.	Confidentiality: G.S. § 132-1.1(a)

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<p><b>INMATE INCARCERATION RECORDS (ACTIVE AND INACTIVE)</b> Records concerning non-medical information gathered on inmates in county detention facilities. May include entry and release summaries, detainees’ arrest sheets; court commitment and release orders, work release records, pretrial release agreements, and other related records concerning the arrest and confinement of an individual.</p>	Destroy in office 3 years after inmate is released or transferred from the facility.*	
54.	<p><b>INMATE LIST REPORTS</b> Lists of inmates furnished weekly to the Clerk of Superior Court.</p>	Destroy in office when superseded or obsolete.	Authority: G.S. § 153A-229
55.	<p><b>INMATE MAIL, TELEPHONE, OR VISITOR RECORDS</b> Records concerning telephone calls and mail sent and received by inmates, and attorneys, ministers, or family members visiting inmates confined in county detention facilities. May include logs listing inmate’s name, date and time of call or mail, visitor’s signature and address, and other related information.</p>	Destroy in office after 1 year.*	
56.	<p><b>INMATE MEAL RECORDS</b> Records concerning the planning and scheduling of inmate meals. May include food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records. File also includes records concerning requests for special diets made by inmates.</p>	Destroy in office after 3 years.*	Retention: 10A NCAC 14J .1723

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57. 	<b>INMATE MEDICAL RECORDS</b> Records concerning medical examinations, diagnoses, and treatments of inmates. May include medical information sheets and screening forms, medical histories as provided by inmate, receipt and/or release forms for medications and medical articles, laboratory and x-ray reports, blood pressure records, sick bay transfer forms, special diet authorizations, psychological evaluation forms, suicide watch sheets, progress notes, health assessment forms, dental forms, doctors' orders, transportation records to outside clinics or hospitals, and other related records. May also include authorization records for release of medical information to detention facility staff, informed consent forms, refusal of treatment forms, and release of financial responsibility forms.	Destroy in office 5 years after inmate is released or transferred from the facility.*	Confidentiality: G.S. § 8-53 45 CFR 164.502  Authority: G.S. § 153A-225.2
58.	<b>INMATE MONTHLY CONFINEMENT REPORTS</b> Monthly reports submitted to the N.C. Department of Health and Human Services listing confinement (Jail) figures.	Destroy in office after 3 years.*	
59.	<b>INMATE PERSONAL IDENTIFICATION RECORDS</b> Records concerning changes to be made to an inmate's incarceration file. May include personal identification changes, superior court calendar, long form dismissals and other related records.	Destroy in office 30 days after receipt.*	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
60.	<b>INMATE RESEARCH REQUESTS</b> Requests filed by inmates seeking use of a facility’s law library or similar collection containing research materials.	Destroy in office 1 year from date of request.	
61.	<b>INMATES: REIMBURSEMENT REQUESTS FOR THOSE CONFINED LOCALLY</b> Reports and supporting documentation sent to the N.C. Department of Public Safety requesting state and/or federal reimbursement for inmates serving sentences of thirty days or more in a county detention facility.	Destroy in office after 3 years.*	Authority: G.S. § 148-32.1
62. 	<b>INTERNAL AFFAIRS CASE RECORDS</b> Records concerning internal investigations of alleged officer misconduct. May include complaints, investigation reports, disciplinary action, and other related records.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 43, Item 30. b) Destroy in office all remaining records 2 years after resolution of all actions.	Confidentiality: G.S. § 153A-98  Retention: 29 CFR 1602.31
63. 	<b>JUVENILE CASE HISTORY FILES</b> Includes incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, correspondence with county or state juvenile services, and other related records.	a) Destroy in office records when juvenile reaches 21 years of age if adjudicated for an offense that would have been a Class A, B1, B2, C, D, or E felony if committed by an adult. b) Destroy in office records related to all other cases when juvenile reaches 18 years of age.	Confidentiality: G.S. § 7B-3001(b)

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
64. 	<b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b> Includes fingerprints and photographs.	a) Transfer to the State Bureau of Investigation and Federal Bureau of Investigation.  b) Destroy in office reference copies when reference value ends.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 7B-2102 (d)  Retention: G.S. § 7B-2102
65. 	<b>JUVENILE DETENTION RECORDS</b> Records concerning medical and non-medical information gathered on juvenile inmates held in county detention facilities.	a) Destroy in office medical records when juvenile reaches 21 years of age.  b) Destroy in office non-medical records when juvenile reaches 18 years of age.	Confidentiality: G.S. § 7B-3001(b)
66.	<b>MULTIPLE FIREARMS SALES REPORTS</b> Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when reference value ends, but within 20 days after receipt.† Agency Policy: Destroy in office after _____	Retention: 18 USC 923(g)(3)(b)
67.	<b>MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS</b> Records submitted after 6 months to the U.S. Attorney General’s Office certifying that all multiple firearm sales reports received from dealers have been destroyed.	Destroy in office after 1 year.	Authority: 18 USC 923(g)(3)(b)
68.	<b>MUTUAL AID AGREEMENT RECORDS</b> Records concerning officers who work with other agencies and vice versa. May include mutual aid agreements and supporting documentation.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
69.	<b>PAROLE COMMISSION NOTIFICATION REPORTS</b> Reports submitted to the N.C. Parole Commission listing dates of incarceration, jail credit, and other related documentation.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	Authority: G.S. § 148-32.1
70.	<b>PAWNSHOP RECORDS</b> Pawnshop and property records.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
71.	<b>PERMISSION TO SEARCH RECORDS</b> Authorizations for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12. b) Destroy in office when reference value ends if not made part of a case file.† Agency Policy: Destroy in office after _____	
72.	 <b>PERMITS, CONCEALED WEAPONS</b> Applications and supporting documentation filed to carry concealed weapons. May include lists of permit holders, lists of permit denials, records of background checks, and other related documentation.	a) Destroy in office all approved applications 5 years after the date of last renewal. b) Destroy in office criminal histories and related records concerning approved applications when permit is issued. c) Destroy in office denied applications and related records 5 years from date of denial or resolution of petition filed with district court, whichever is longer.	Authority & Confidentiality: G.S. § 14-415.17

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
73. 	<b>PERMITS, HANDGUN</b> Applications filed to purchase handguns. May include lists of permit holders, lists of permit denials, background checks, and other related records.	a) Destroy in office all approved applications after 5 years. b) Destroy in office criminal histories and related records concerning approved applications when permit is issued. c) Destroy in office denied applications and related records 5 years from date of denial or resolution of petition filed with district court, whichever is longer.	Authority & Confidentiality: G.S. § 14-405
74. 	<b>PERSONAL HISTORIES OF KNOWN OR SUSPECTED LAW BREAKERS</b> Records collected concerning an identifiable person or group of persons in an effort to anticipate, prevent or monitor criminal activity. May include witnesses’ statements, laboratory tests, surveillance, reports, investigators’ or confidential informants’ statements, photographs, vital statistics, and other related records.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.4 G.S. § 132-1.7
75. 	<b>PERSONNEL INSPECTION REPORTS</b> Inspection reports concerning individual officer’s physical appearance and condition of uniform and weapons.  See also <b>PERFORMANCE REVIEWS</b> , page 42, item 28.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	Confidentiality: G.S. § 153A-98
76.	<b>PRISONER/MENTAL PATIENT TRANSPORT RECORD</b> Verification forms completed by receiving party of prisoner/mental patient.	Destroy in office after 1 year.	

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
77.	<b>PROPERTY RECORDS: CONFISCATED</b> Itemized lists of all property confiscated by the sheriff’s office pursuant to law.	Destroy in office 1 year after disposition of property.	
78.	<b>PROPERTY RECORDS: EVIDENCE</b> Records used to control and track evidence. May include descriptions of property, physical evidence examination requests, and records documenting final disposition of property.	Destroy in office 1 year after disposition of property.	
79.	<b>PROPERTY RECORDS: STOLEN/RECOVERED</b> Records concerning the recovery of stolen property. May include descriptions of property and its value, serial numbers, and other related records. Records may be filed with original incident report.	Destroy in office 1 year after disposition of property.	
80.	<b>PROPERTY RECORDS: UNCLAIMED</b> Disposition records concerning unclaimed property held by sheriff’s office. May include descriptions of property and serial or identification numbers.	Destroy in office 1 year after disposition of property.	
81.	<b>PROPERTY RECORDS: UNCLAIMED INMATE</b> Records concerning unclaimed personal property stored by the department during an inmate’s incarceration.	Destroy in office 90 days after release and attempt to notify former inmate.	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
82.	<p><b>PURSUIT LOGS</b> Logs concerning pursuits by sheriff’s office personnel.</p>	<p>a) Destroy in office after 3 years if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	
83.	<p><b>RIDE-ALONG PROGRAM RECORDS</b> Records concerning a sheriff’s office ride-along program. May include citizens’ applications to participate, waivers of liability, and other related records.</p>	<p>Destroy in office after 3 years.*</p>	
84.	<p><b>SEXUAL OFFENDER RECORDS</b> Records concerning sexual offenders living within jurisdiction.</p>	<p>a) Destroy in office records of persons registered in the “Sex Offender and Public Protection Program” after court petition and review by the State; or after 30 years or length of court order, whichever is greater; or when individual is known dead.</p> <p>b) Destroy in office records of persons registered in the “Sexually Violent Predator Program” when individual is known dead or after 90 years.</p>	<p>Authority: G.S. § 14-208</p> <p>Retention: G.S. § 14-208.6A</p>
85.	<p><b>SPECIAL ORDER RECORDS</b> Special orders issued by sheriff concerning the adoption or revision of policy and established procedures on department, division, section, or individual level.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
86.	<b>TOWED/SEIZED VEHICLE INVENTORIES</b> Inventories of towed and seized vehicles.	Destroy in office after 1 year.	
87.	<b>TRAFFIC ACCIDENT REPORTS</b> Records concerning traffic accidents. May include general correspondence, property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves, and other related records.	a) Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident. b) Destroy in office duplicate reports when reference value ends.† Agency Policy: Destroy in office after _____ c) Destroy in office after 3 years records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made.	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
88. 	<p><b>TRAFFIC CITATIONS</b> Citations issued to drivers violating motor vehicle and traffic laws. May include time, date, and location of violation; license number; violation code; officer’s name; signature of person receiving citation; and other related information.</p>	<p>a) Transfer original records to county Clerk of Superior Court’s office.</p> <p>b) Destroy in office duplicate copies when reference value ends if not made part of a case file.† Agency Policy: Destroy in office after _____</p> <p>c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p> <p>d) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition.</p> <p>e) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations.</p> <p>f) Retain in office litigation case records having precedent or historical value permanently.</p>	<p>Confidentiality: G.S. § 132-1.1(a)</p>

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
89.	 <p><b>TRAINING RECORDS</b> Records concerning the training of officers. May include records documenting in-service training schools conducted to develop skills, knowledge, and abilities; field training observation reports; supervisory career assessment forms; certificates; firearms qualifications; and other related records maintained in accordance with N.C. Administrative Code and Criminal Justice Commission standards and regulations. May also include course curriculum, attendance rosters, development material, and other related records.</p>	<p>a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b>, page 43, item 30, if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office remaining records after 1 year.</p>	<p>Confidentiality: G.S. § 153A-98</p> <p>Retention: 29 CFR 1627.3(b)(1)(iv)</p>
90.	<p><b>TRESPASS LAW ENFORCEMENT RECORDS</b> Authorizations by property owners, lessees, or managers for officers to take action deemed appropriate to remove unauthorized persons and issue trespass warnings.</p>	<p>Destroy in office when superseded or obsolete.</p>	
91.	<p><b>VEHICLE LOCATOR RECORDS</b></p>	<p>Destroy in office after 90 days.*</p>	
92.	<p><b>VEHICLE TOWING RECORDS</b> Includes recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.</p>	<p>a) Destroy in office after 1 year if not made part of a case file.</p> <p>b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b>, page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b>, page 58, item 12.</p>	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
93.	<b>WARNING TICKETS</b> Warning tickets issued by sheriff’s office. May include name and address of person and reason for warning.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
94.	<b>WARRANTS</b> Warrants issued by a court directing a person to be taken into custody to answer charge.	Return to issuing Clerk of Superior Court’s office as required by law once served, canceled, withdrawn, or otherwise disposed of.	
95.	<b>WARRANT REGISTERS</b> Registers listing warrants served by sheriff’s office.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after _____	
96.	<b>WORK RELEASE EARNINGS REPORTS</b> Inmates’ work release earnings submitted either to the N.C. Department of Public Safety or the Clerk of Superior Court.	Destroy in office after 3 years.*	Authority: G.S. § 148-32.1
97.	<b>WRECKER SERVICE RECORDS</b> Records concerning wrecker requests or calls. May include lists of wrecker company’s towing and storage rates, rotation lists, notification records when vehicles are towed from private property, and other related records.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	

\* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page vi.

† See signature page. The agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

## DESTRUCTION OF PUBLIC RECORDS

---

### ***Q. When can I destroy records?***

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long the series must be kept in your office. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question above, “*What should I do with permanent records?*”)
- 

### ***Q. How do I destroy records?***

- A.** After your county has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- 1) burned, unless prohibited by local ordinance;
  - 2) shredded, or torn so as to destroy the record content of the documents or material concerned;
  - 3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - 4) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

The provision that electronic records are to be destroyed means that the data, metadata, and physical media are to be overwritten, deleted, and unlinked so that the data and metadata may not be practicably reconstructed.

The data, metadata, and physical media containing confidential records of any format are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

---

### ***Q. How can I destroy records if they are not listed on this schedule?***

- A.** Contact a Records Management Analyst. An analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, we will discuss the possibility of transferring the records to the State Archives of North Carolina to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS** (page 90) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

---

### ***Q. Am I required to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your governing board on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.

## ELECTRONIC RECORDS: E-MAIL, BORN-DIGITAL RECORDS, AND DIGITAL IMAGING

---

### ***Q. When can I delete my e-mail?***

**A.** E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is as much a record as any paper record and must be treated in the same manner. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. **It is inappropriate to destroy e-mail simply because storage limits have been reached.** Some examples of e-mail messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts of reports and recommendations;
- Correspondence and memoranda related to official business;
- Work schedules and assignments;
- Meeting agendas or minutes
- Any document or message that initiates, facilitates, authorizes, or completes a business transaction; and
- Messages that create a precedent, such as issuing instructions and advice.

*From the Department of Cultural Resources E-Mail Policy (Revised July 2009),  
available at the State Archives of North Carolina website*

Other publications (available online at the [State Archives of North Carolina website](http://www.southcarolina.gov)) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

---

### ***Q. May I print my e-mail to file it?***

**A.** We do not recommend printing e-mail for preservation purposes. Important metadata are lost when e-mail is printed.

---

### ***Q. I use my personal e-mail account for work. No one can see my personal e-mail, right?***

**A.** The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. § 132-1 states that records “made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

---

### ***Q. We have an imaging system. Are we required to keep the paper?***

**A.** You may scan any record, but you will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your agency must develop an electronic records policy and then submit a Request for Disposal of Original Records Duplicated by Electronic Means. You can find these templates in the Digital Imaging section of the State Archives of North Carolina website (<http://archives.ncdcr.gov/For-Government/Digital-Records/Digital-Records-Policies-and-Guidelines#imaging>). Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy.

**Permanent records** must have a security preservation copy as defined by State Archives of North Carolina’s **Human-Readable Preservation Duplicate Policy** (G.S. § 132-8.2):

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. ... Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Cultural Resources.

**The preservation duplicate of permanent records must be either on paper or microfilm.**

**Non-permanent records** may be retained in any format. You will need to take precautions with records that you must keep more than about 5 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access.

---

***Q. Computer storage is cheap. Can I just keep my computer records permanently?***

- A.** The best practice is to destroy all records that have met their retention requirements, regardless of format.

---

***Q. What are the guidelines regarding the creation and handling of electronic public records?***

- A.** There are numerous documents available on the State Archives of North Carolina website (<http://archives.ncdcr.gov/For-Government/Digital-Records/Digital-Records-Policies-and-Guidelines>). Topics covered include shared storage, cloud computing, eDiscovery, trustworthy digital public records, digital signatures, e-mail, social media, text messages, websites, digital imaging, metadata, file formats, database indexing, and security backups.

Note that for e-mail, voicemail, text messages, and social media, they should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, voicemail, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see **LEAVE RECORDS**, page 41, item 24).

## MICROFILM

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### ***Q. Why do you still use microfilm?***

**A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. § 8-45.1 and § 153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass, and there is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. The State Archives of North Carolina provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:

- manufacture of raw film
- filming methods
- processing (developing) film
- storage methods

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

---

### ***Q. What film services do you provide?***

**A.** The Department of Natural and Cultural Resources provides microfilming services for minutes of major decision-making boards and commissions. We will also film records of adoptions for Social Services agencies. Once those records are filmed, we will store the silver negative (original) in our security vault. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

---

### ***Q. How do I get my minutes filmed?***

**A.** We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Minutes for Microfilming** form (available online at the State Archives of North Carolina website) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Alternatively, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call a Records Management Analyst to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

---

### ***Q. What if I need my books while they are being filmed?***

**A.** Call the Raleigh Office at (919) 807-7350, and ask for the Records Management Analyst in charge of microfilm coordination.

---

### ***Q. Can I send you my minutes electronically?***

**A.** We are working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of microfilm coordination for more information.

---

### ***Q. I have some old minutes that are not signed. Can they still be filmed?***

**A.** If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

---

**Q. *What if my books are destroyed after they have been filmed?***

- A.** Call a Records Management Analyst who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor who can either make new printed books or scan the film to create a digital copy.

## DISASTER ASSISTANCE

---

### ***Q. What should I do in case of fire or flood?***

- A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 807-7353 for the Head of the Government Records Section or (919) 807-7339 for the State Archivist. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

***DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.***

Damaged records are extremely fragile and require careful handling. Our staff are trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle larger disasters.

---

### ***Q. What help do you give in case of an emergency?***

- A.** We will do everything we can to visit you at the earliest opportunity in order to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.
- 

### ***Q. What can I do to prepare for an emergency?***

- A.** We provide training on disaster preparation that includes a discussion of the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, call a Records Management Analyst.
- 

### ***Q. What are essential records?***

- A.** Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:
- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records
  - **Legal and financial rights records** – these protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as “rights-and-interests” records.

Essential records should be stored in safe, secure locations as well as duplicated and stored off-site, if possible.

## STAFF TRAINING

---

### ***Q. What types of workshops or training do you offer?***

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:
- Managing public records in North Carolina
  - Scanning/digital imaging
  - Disaster preparedness and recovery
  - Confidentiality
  - Organizing paper and digital files
  - E-mail
- 

### ***Q. Will you design a workshop especially for our office?***

- A.** Yes, we will. Let a Records Management Analyst know what type of training you need.
- 

### ***Q. Are workshops only offered in Raleigh?***

- A.** No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.
- 

### ***Q. Is there a fee for workshops?***

- A.** Not at this time.
- 

### ***Q. Are the workshops available in an online format?***

- A.** Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including managing public records, e-mail, electronic records, and scanning.



**REQUEST FOR CHANGE IN RECORDS SCHEDULE**

**TO** Assistant Records Administrator  
Division of Archives and Records  
Government Records Section  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Mailing address \_\_\_\_\_  
Phone or email \_\_\_\_\_

**INSTRUCTIONS**

Use this form to request a change in the records retention and disposition schedule governing the records of your agency. Submit the signed original, and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and local officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

**CHANGE REQUESTED**

- Add a new item
  - Delete an existing item
  - Change a retention period
- Standard Number \_\_\_\_\_ Page \_\_\_\_\_ Item Number \_\_\_\_\_  
Standard Number \_\_\_\_\_ Page \_\_\_\_\_ Item Number \_\_\_\_\_

**TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE**

**INCLUSIVE DATES OF RECORDS** \_\_\_\_\_ **APPROXIMATE VOLUME OF RECORDS** \_\_\_\_\_

**DESCRIPTION OF RECORDS**

**PROPOSED RETENTION PERIOD**

Requested by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature Title Date

Physical Address:  
215 N Blount Street  
Raleigh, N.C. 27601

State Courier 51-81-20  
Facsimile (919) 715-3627  
records@ncdcr.gov



**REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS**

**TO** Assistant Records Administrator  
N.C. Division of Archives and Records  
Government Records Section  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Phone number \_\_\_\_\_

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

RECORDS SERIES TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: \_\_\_\_\_  
Signature Title Date

Approved by: \_\_\_\_\_  
Signature Head of Governing Board Date

Concurred by: \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator  
NC Division of Archives and Records Date



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