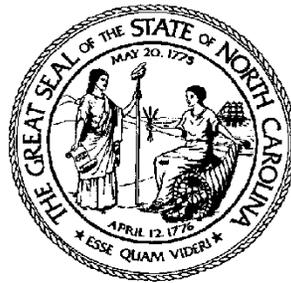


RECORDS RETENTION AND DISPOSITION SCHEDULE

PUBLIC LIBRARIES



Issued By:

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

October 12, 2009

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PUBLIC LIBRARY
Records Retention and Disposition Schedule

The records retention and disposition schedule and retention governing the records series listed herein are hereby approved. In accordance with the provision 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. 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.

This local government agency and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official public records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative purposes and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. This local government agency agrees to establish and enforce internal policies that will specify how long those records must be retained, and when they must be destroyed.

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

Library Director



David Brook, Director
Division of Historical Resources

APPROVED

Chairman, Library Board of Trustees



Linda A. Carlisle, Secretary
Department of Cultural Resources

County/Municipality/Region: _____

October 12, 2009

EXECUTIVE SUMMARY

According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources. This schedule is the primary way DCR gives its consent. Without approving this schedule, your library is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.

Each records series listed on this schedule has specific disposition instructions which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever.

The Department of Cultural Resources provides microfilming of the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver negative (the original) in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county for the most current information.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

- A.** This document is a tool for the employees of public libraries across the state to use when managing the records in their offices. It lists records commonly found in public library offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your public library and the Department of Cultural Resources.

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

Q. *How do I get it approved?*

- A.** This schedule must be approved by the governing board of the library 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.
-

Q. *Do I have 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.
-

Q. *Do the standards correspond to the organizational structure of my library?*

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records are grouped according to the organizational structure of your library, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule is to provide an easy reference guide for the records created in your library.
-

Q. *I can't find some of my records on this schedule.*

- A.** Call the Records Management Analyst assigned to your county. We will work with you to amend this records schedule so that you may destroy records appropriately.
-

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.

Q. *Can anyone 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.”

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.

Q. *Do I have to make copies of drafts available to the public that haven't been approved?*

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

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. The State Archives will store the silver halide (original) copy of your microfilm, as long as it has been properly processed.

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 the analyst assigned to your county for further assistance.

Q. *I don't have any records.*

A. Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren't 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.

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

A. Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, 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.

Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?*

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

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

A. Probably not. The State Archives collects only very specific types of records from county and municipal offices. You are certainly welcome to contact the analyst assigned to your county for more information about appraisal and accessioning.

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

A. Call the analyst assigned to your county. We will help you examine the records and assess their historical value.

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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

Q. *Whom can I call with questions?*

A. If you are located west of about Statesville, call our Western Office in Asheville at (828) 274-6789. East of Statesville, all the way to the coast, call our Raleigh office at (919) 807-7350.

AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS

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

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** Item 6, page 2 and **AUDITS: FINANCIAL** Item 6, page 13.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the library 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.

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 that series must be kept in your offices. 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 below, “*How should I deal with my permanent records?*”)
-

Q. *How do I destroy records?*

- A.** After your library has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance;
 - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
 - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
 - d) buried under such conditions that the record nature of the documents or materials will be terminated;
 - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used.

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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 to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

Q. *I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?*

- A.** At the end of this schedule is a form called the **Request and Approval of Unscheduled Records Disposal**. Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
-

Q. *Do I have to tell anyone about the destruction?*

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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.
-

Q. *Computer storage is cheap. I'll just keep my computer records.*

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

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

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

ELECTRONIC RECORDS AND DIGITAL IMAGING

Q. *When can I delete my email?*

- A.** Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. 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 email 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 email simply because storage limits have been reached.

Three of our publications will be particularly helpful (available online at <http://www.records.ncdcr.gov/>):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
 - *North Carolina Public Records with Short-Term Value: Guidelines for their Retention and Disposition*
-

Q. *We have an imaging system. Do we have to keep the paper?*

- A.** You may scan any record, including permanent records. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self Warranty process, develop an Electronic Records Policy, and complete a copy of the **Request to Destroy Records Duplicated by Electronic Means**, (located at the end of this schedule). Then submit all three to us.

Permanent records must have a preservation copy as defined by 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 have to take precautions with records that you must keep more than about 10 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. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the **Request to Destroy Records Duplicated by Electronic Means** form for our approval.

Q. *Do I have to print my email to file it?*

- A.** As long as the email is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format.
-

Q. *Computer storage is cheap. I'll just keep my computer records.*

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

Q. *I use my personal email account for work. No one can see my personal email.*

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

MICROFILM

Q. Why do you still use microfilm?

A. Microfilm is a legally acceptable replacement for original records, as outlined in G.S. §8-45 and §153A-436. Our office 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.

Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection.

Q. What film services do you provide?

A. The Department of Cultural Resources provides microfilming of minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver original in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county 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 <http://www.records.ncdcr.gov/imaging.htm#minutes>) with each shipment. For more detailed instructions, contact the analyst assigned to your county.

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 the analyst assigned to your county 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’re being filmed?

A. Just call the Raleigh Office at (919) 807-7350, and ask for the analyst in charge of minutes.

Q. Can I email you my minutes?

A. Not at this time. We require photocopies of the approved minutes, complete with signatures.

Q. I have some old minutes that aren’t 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 minutes are destroyed after they have been filmed?

A. Call the analyst assigned to your county, 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) 807-7365 for the Head of the Local Records Program or (919) 807-7339 for the State Preservation Officer. If you're in the western part of the state, call our Asheville Office at (828) 274-6789. 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 is trained in preliminary recovery techniques, and professional vendors can handle your larger disasters.

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

- A.** We will do everything we can to make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the analyst assigned to your county.
-

STAFF TRAINING

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

- A.** While we have a group of prepared workshops that we can offer at any time, we are also happy to work with you directly to develop training suited to your specific needs. Our basic workshops are:
- **Managing Public Records: Law and Practice in North Carolina** – our basic introduction to the Public Records law and records management;
 - **Evaluating Filing Systems** – how to evaluate and improve paper or electronic filing systems;
 - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
 - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens;
 - **Microfilming as a Preservation Tool: Digital Imaging and Microfilm** – why microfilm is still used, and how it can work with digital technologies.
-

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

- A.** Yes, we will. Let the analyst assigned to your county know what type of training you need.
-

Q. *Do we have to come to Raleigh for workshops?*

- 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.

PUBLIC RECORDS WITH SHORT-TERM VALUE

GUIDELINES FOR THEIR RETENTION AND DISPOSITION

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 guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material;
- routing slips or other records that transmit attachments;
- reservations and confirmations;
- personal messages (including electronic mail) not related to official business;
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records;
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business;
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its **Request and Approval of Unscheduled Records Disposal** (located at the end of the this schedule). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine administration of public library administrative offices.

<i>ITEM #</i>	<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ADMINISTRATIVE DIRECTIVES, POLICIES, PROCEDURES, REGULATIONS, RULES	a) Retain official copy permanently. b) Destroy in office remaining copies 3 years after superseded.	
2.	AGENDA AND MEETING PACKETS FILE Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies. See also MINUTES OF PUBLIC BODIES item 37, page 7.	a) Retain records with historical value permanently. b) Destroy in office other records when administrative value ends.	
3.	APPLICATIONS FOR APPOINTMENT 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 2 years.	
4.	APPOINTMENTS REPORTING RECORDS Includes public boards, commissions, councils and committees annual appointment reports filed with the NC Department of the Secretary of State and related records.	Destroy in office after 2 years.	G.S. § 143-157.1
5.	ASSOCIATIONS AND ORGANIZATIONS FILE Records concerning associations, organizations, groups, etc., that have some form of association or relationship with the agency.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<i>ITEM #</i>	<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
6.	<p>AUDITS: PERFORMANCE Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records.</p> <p>See also AUDITS: FINANCIAL item 6, page 13.</p>	<p>a) Retain reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.</p>	
7.	AUDIO AND VIDEO RECORDING OF MEETINGS	Destroy in office after approval of official written minutes.	
8.	<p>BLUEPRINTS AND SPECIFICATIONS Blueprints and specifications of county and municipally owned buildings and facilities. May include as-built plans and related records concerning approved changes.</p>	Retain in office for life of structure.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
9.	BULLETINS	Destroy in office when administrative value ends.	
10.	CALENDARS OF EVENTS AND APPOINTMENTS	Destroy in office when superseded or obsolete.	
11.	<p>CENSUS PROJECT FILE Records created to assist the U.S. Census Bureau and county agencies with the decennial census.</p>	Destroy in office when administrative value ends.	
12.	<p>CHARTER RECORDS Charter and charter proceedings related to adoption, amendment and/or repeal.</p>	Retain in office permanently.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	CITIZEN COMPLAINTS AND SERVICE REQUESTS Records concerning objections, dissatisfaction or disagreements with actions or positions taken or not taken by a public library. May include routine requests for service or information and petition with no legal affect.	Destroy in office 1 year after resolution.*	
14.	COMPREHENSIVE PLAN Long-range plan outlining policies, guidelines and plans for future development of the library. Includes but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	a) Retain official copy in office permanently. b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	
15.	CONFERENCES AND WORKSHOPS FILE Records concerning conferences and workshops conducted or attended by library employees. See also EMPLOYEE TRAINING AND EDUCATIONAL RECORDS item 29, page 42.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
16.	CORRESPONDENCE AND MEMORANDA See also Public Records with Short Term Value page x. For information on handling electronic mail, See Electronic Records and Digital Imaging section page vii.	a) Retain records with historical value permanently. b) Destroy in office routine administrative correspondence and memoranda when administrative value ends. c) Destroy in office remaining records after 3 years.	
17.	CUSTOMER CALL CENTER RECORDINGS Recordings made of calls to customer service centers for quality assurance and training purposes.	Destroy in office when administrative value ends.	
18.	DONATIONS AND SOLICITATIONS	Destroy in office after 1 year.	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<p>EQUIPMENT AND FACILITY USAGE RECORDS Records concerning the assignment, request and usage of agency assets. May include mileage and check out logs, fuel consumption reports, facility reservation requests, authorizations and similar records relating to the assignment and use of agency owned property.</p> <p>See also VEHICLE USAGE RECORDS item 63, page 11.</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>	
20.	<p>EQUIPMENT AND PROPERTY INVENTORIES Inventories describing the type of property or equipment, its location and related information.</p>	Destroy in office when superseded or obsolete.	
21.	<p>EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS Records concerning the maintenance, repair and inspection of library owned equipment.</p> <p>See also GRANTS item 30, page 6.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of equipment after 1 year.</p> <p>b) Retain for life of equipment records documenting all other equipment maintenance and repairs.</p>	
22.	<p>EQUIPMENT REFERENCE FILE Includes operation, specification and technical manuals, brochures, bulletins and related records.</p>	Destroy in office when superseded, obsolete or asset is no longer owned.	
23.	<p>FACILITY ACCESSIBILITY FILE Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of library buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.</p>	Destroy in office after 5 years.*	29 CFR 1602 (1992)

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<i>ITEM #</i>	<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
24.	FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS Records concerning the maintenance, repair and inspection of library owned facilities. See also GRANTS item 30, page 6.	a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of facilities after 1 year. b) Destroy in office records concerning all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.	
25.	FUND DRIVE AND EVENT RECORDS Records concerning the promotion and organization of fund drives and other special events in which the agency participated.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 1 year.	
26.	GOALS AND OBJECTIVES	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
27.	GOING-OUT-OF-BUSINESS LICENSES Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
28.	GRANT CONTRACT APPEALS CASES	Destroy in office 10 years after final action or decision.*	
29.	GRANT PROPOSALS	a) Transfer records concerning approved grants to GRANTS item 30, page 6 if approved. b) Destroy in office rejected or withdrawn grant proposals when reference value ends.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<p>GRANTS Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records.</p> <p>See also GRANTS: FINANCIAL item 35, page 17.</p>	<p>a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit.*</p> <p>b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed.</p> <p>c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.</p>	
31.	<p>HISTORIES FILE (AGENCY AND EMPLOYEES) Records concerning the history of the organization and its employees. May include published and unpublished histories, photographs, newspaper clippings, and other related records.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
32.	INDEX FILE	Destroy in office when reference value ends.	
33.	<p>LEGISLATION AND REGULATORY RECORDS Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.</p>	Destroy in office when reference value ends.	
34.	<p>LITIGATION CASE FILE Legal cases in which the agency is a party.</p>	<p>a) Transfer to LITIGATION CASE RECORDS item 11, page 34 when reference value ends.</p> <p>b) Destroy in office copies when administrative value ends.</p>	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
35.	<p>MAILING AND DISTRIBUTION RECORDS Includes mailing and meeting notification lists, Sunshine Lists and related documentation of transactions with the U.S. Postal Service or private carriers.</p>	<p>a) Destroy in office Sunshine Lists when superseded or obsolete.</p> <p>b) Destroy in office all other records when administrative value ends.</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	MANAGEMENT STUDIES	<ul style="list-style-type: none"> a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete. 	
37.	<p>MINUTES OF PUBLIC BODIES As defined by G.S. § 143-318.10 (b), includes official and reference copies 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 Microfilm section on page viii for instructions on microfilming.</p>	<ul style="list-style-type: none"> a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. b) The official minutes of advisory boards may only be destroyed upon approval by the NC State Archives. The NC State Archives reserves the right to designate the minutes of any advisory board as permanent. c) Minutes of committees or subcommittees may be destroyed when administrative 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 NC State Archives reserves the right to designate the minutes as permanent. d) Reference copies of minutes of any public body may be destroyed when administrative value ends. No NC State Archives approval to purge is required. 	G.S. § 143-318.10
38.	<p>MINUTES (STAFF MEETINGS) Minutes of meetings including all referenced and attached documentation.</p>	<ul style="list-style-type: none"> a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends. 	G.S. § 143-318.10(c)
39.	<p>MOTOR VEHICLE RECORDS Records on each vehicle showing make, model, original cost, mileage, and cost of operation.</p>	Destroy in office after disposal of vehicle.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	<p>NOTICES OF PUBLIC MEETINGS Includes notices and regular meeting schedules.</p> <p>See also AFFIDAVITS OF PUBLICATION item 1, page 32.</p>	Destroy in office when administrative value ends.	
41.	<p>OFFICE SECURITY RECORDS Records concerning the security of the office, its equipment, and office personnel. May include visitor's register, security and surveillance system reports and recordings.</p>	<p>a) Destroy in office or reuse after 30 days tapes not required to support known investigations or litigation</p> <p>b) Destroy in office all remaining records after 1 year.</p>	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
42.	<p>ORDINANCES Includes code of ordinances and ordinance development records.</p> <p>See the Microfilm section on page viii for instructions on microfilming.</p>	<p>a) Retain official copy permanently.</p> <p>b) Destroy in office additional copies (including tabled or failed ordinances) when administrative value ends.</p> <p>c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends.</p>	
43.	<p>ORGANIZATION RECORDS Includes organizational charts, reorganization studies and similar records describing the arrangement and administrative structure of the agency.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office all other copies when superseded or obsolete.</p>	
44.	<p>PARKING FILE Records concerning staff parking assignments.</p>	Destroy in office when superseded or obsolete.	
45.	<p>PETITIONS (CITIZEN)</p>	Destroy in office when administrative value ends.	
46.	<p>PLANNING AND DEVELOPMENT FILE Records concerning the formulation, planning and adoption of policies, procedures and functions of the agency and its departments.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	PRINTING REQUESTS	Destroy in office when reference value ends.	
48.	PROJECTS FILE Includes project correspondence, final reports, specifications and contract documents, notices to proceed, cost estimates, change orders, performance and payment bonds and similar documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
49.	PUBLIC HEARING RECORDS Includes agendas, minutes, speaker sign up sheets and similar documentation.	a) Retain minutes permanently. b) Destroy in office remaining records when administrative value ends.	
50.	PUBLIC RECORDS DISCLOSURE FILE Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
51.	PUBLICATIONS RECEIVED Includes books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic.	Destroy in office when reference value ends.	
52.	RECORDS MANAGEMENT FILE Includes correspondence with state and/or federal agencies, records disposition documentation and copies of records retention and disposition schedules.	a) Retain records concerning the final disposition of records permanently. b) Destroy in office remaining records when administrative value ends.	
53.	REFERENCE (READING) FILE Subject file containing informational copies of records organized by areas of interest.	Destroy in office when reference value ends.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
54.	<p>REPORTS AND STUDIES (INTERNAL ADMINISTRATION) Records concerning the performance of a department, program, or project, as well as those created for planning purposes. May include all annual, semi-annual, or irregularly prepared reports and studies generated by an agency or prepared by consultants hired by the agency.</p>	<p>a) Retain in office 1 copy of all biennial and annual reports permanently.</p> <p>b) Retain 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 administrative value ends.</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
55.	<p>REQUESTS FOR PROPOSALS Proposals submitted by vendors in response to requests from departments.</p> <p>See also BIDS FOR PURCHASE item 9, page 14.</p>	Destroy in office when administrative value ends.	
56.	<p>REQUISITIONS FILE Requests for payment of parts and inventory items.</p>	Destroy in office after 1 year.	
57.	<p>RESEARCH AND STUDIES FILE (ADMINISTRATIVE) Includes feasibility studies, planning and land use studies, transportation system plans, and similar documents and supporting records with potential long-term value.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends.</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
58.	<p>RESOLUTIONS, PROCLAMATIONS AND ORDERS</p> <p>See the Microfilm section on page viii for instructions on microfilming .</p>	<p>a) Retain one copy permanently.</p> <p>b) Destroy in office additional copies (including those tabled or failed) when administrative value ends.</p> <p>c) Destroy in office development records when administrative value ends.</p>	
59.	SURPLUS PROPERTY FILE	Destroy in office 3 years after disposition of property.*	
60.	TELEPHONE USAGE LOGS AND REPORTS	Destroy in office when administrative value ends.	
61.	TRAVEL REQUESTS	Destroy in office after 1 year.*	
62.	<p>VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS</p> <p>Records concerning the maintenance, repair and inspection of library owned vehicles.</p> <p>See also GRANTS item 30, page 6.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning and maintenance of vehicles after 1 year.</p> <p>b) Retain records documenting all other maintenance and repairs for life of vehicle.</p>	
63.	<p>VEHICLE USAGE RECORDS</p> <p>Records concerning the assignment, request and usage of library vehicles. May include mileage and checkout logs, fuel consumption reports, authorizations and similar records relating to the assignment and use of library vehicles.</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>	
64.	<p>WORK ORDERS (EQUIPMENT REPAIR)</p> <p>Records include date and location of work, cost of materials used and labor, type of work performed and similar information.</p>	<p>a) Destroy in office 1 year after work is completed.*</p> <p>b) If this is the only record documenting work completed, follow disposition instructions for EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS item 21, page 4.</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<i>ITEM #</i>	<i>STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
65.	WORK ORDERS (FACILITY REPAIR) Records include date and location of work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work completed, follow disposition instructions for FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS item 24, page 5.	
66.	WORK ORDERS (VEHICLE REPAIR) Records include date and location of work, cost of materials used and labor, type of work performed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work completed, follow disposition instructions for VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS item 63, page 11.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-2. BUDGET, FISCAL AND PAYROLL RECORDS

Records created and accumulated incidental to the managerial control, budgeting, disbursement, collection and accounting of public libraries.

<i>ITEM #</i>	<i>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ACCOUNTS PAYABLE Records concerning the status of accounts in which the library owes money to firms or individuals.	Destroy in office after 3 years.*	
2.	ACCOUNTS RECEIVABLE Records concerning receivables owed and collected.	Destroy in office after 3 years.*	
3.	ACCOUNTS UNCOLLECTABLE	Destroy in office official/audit copies 3 years after account is paid, collected, or determined to be uncollectable.*	
4.	ANNUAL BUDGET Annual budget and budget message submitted to governing board for approval.	a) Retain records with historical value permanently. b) Destroy in office remaining records after 5 years.	G.S. § 159-11
5.	ARBITRAGE RECORDS Records concerning arbitrage rebate calculations and funds rebated.	Destroy in office 3 years after final redemption date of the bonds and all related debts and obligations have been satisfied.*	26 CFR Part 1 Section 1.148-5(d)(6)(iii)
6.	AUDITS: FINANCIAL Records concerning internal and external financial statements and related financial audits. Includes reports, working papers, and related records. See also AUDITS: PERFORMANCE item 6, page 2.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	G.S. § 159-34
7.	AUTHORIZATION FORMS	Destroy in office after 3 years.*	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	BANK STATEMENTS, CANCELED CHECKS, DEPOSIT SLIPS, RECONCILIATIONS, AND WARRANTS.	Destroy in office after 3 years.*	
9.	BIDS FOR PURCHASE Records concerning quotes to supply products and services. May include advertisements, requests for proposals, tabulations, bid bonds, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.	a) Destroy in office successful (awarded) construction (capital improvements) bid records 6 years after completion or termination of project.* b) Destroy in office all other successful (awarded) bid records 3 years after purchase.* c) Destroy in office unsuccessful bid records not awarded or opened after 1 year.*	G.S. § 143 Article 8
10.	BIDS FOR DISPOSAL OF PROPERTY Records concerning the disposal of surplus property. May include various disposition procedures used, such as sealed bids and public auction.	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	G.S. § 153A-176
11.	BILLING AND CLAIMS 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.*	
12.	BOND AND OTHER DEBT FINANCIAL RECORDS Includes banks statements, reconciliation records, requisitions, and notices of principal and interest due.	Destroy in office 3 years after entire issuance has been satisfied.*	
13.	BOND CLOSING RECORDS Includes applications, agreements, tax records, contracts, official statements, legal opinions, ratings letters, public hearing bonds, title insurance, deeds of trust, and other related records.	Destroy in office 3 years after entire issuance has been satisfied.*	G.S. § 159 Article 7
14.	BONDS, NOTES AND COUPONS	Destroy in office 1 year from date of payment.	G.S. § 159-139

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	BOND REGISTER Records of all bonds, notes, and coupons issued detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	G.S § 159-130
16.	BUDGET RESOLUTIONS AND ORDINANCES Includes copies of budget, annual balanced budget, and project ordinances, resolutions, and amendments.	a) Retain official copies in the minutes of the governing board permanently. b) Destroy in office remaining copies when administrative value ends.	G.S § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S § 159-15
17.	BUDGET REQUESTS AND WORKING PAPERS Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence and related records.	Destroy in office after 3 years.*	G.S. § 159-10
18.	CASH RECEIPTS	Destroy in office after 3 years.*	
19.	CHECK STUBS Stubs for checks written on agency accounts.	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
20.	CHECK REGISTERS, VARIOUS FUNDS	a) Destroy in office computerized check registers after 1 year.* b) Destroy in office all other registers after 3 years.*	
21.	CONTRACT BUDGET AND EXPENDITURE REPORTS	Destroy in office after 3 years.*	
22.	COST ALLOCATION PLANS	Destroy in office after 3 years.*	
23.	CREDIT CARD USE FILE	Destroy in office after 1 year.*	
24.	DAILY CASH REPORTS	Destroy in office after 1 year.*	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	DAILY DETAIL REPORTS	Destroy in office after 1 year.*	
26.	DAILY JOURNAL AND LEDGER ENTRY UPDATE PRINTOUTS	Destroy in office after 1 year.*	
27.	DEPOSITS	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	G.S. § 159-32
28.	DETAIL REPORT FILE (FINANCIAL RECORDS FOR GENERAL FUND OR GENERAL LEDGER)	a) Destroy in office annual reports after 3 years. b) Destroy in office all other reports after 1 year.	
29.	DIRECT DEPOSIT APPLICATIONS/AUTHORIZATIONS	Destroy in office when superseded or obsolete.	
30.	DISTRICT INVESTMENT RECORDS	Destroy in office after 3 years.*	
31.	ESCHEAT AND UNCLAIMED PROPERTY FILE	Destroy in office after 10 years.	Comply with applicable provisions of G.S. §116B-60 and §116-73.
32.	EXPENDITURE REPORTS	Destroy in office after 3 years.*	
33.	FACILITY SERVICE AND MAINTENANCE AGREEMENTS See also GRANTS: FINANCIAL item 35, page 17.	a) Destroy in office depreciation schedules 3 years after asset is fully depreciated or disposed. b) Destroy in office remaining records after 3 years.*	
34.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years. b) Destroy in office daily, monthly or quarterly transaction detail journals and ledgers after 1 year.	

*See AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, page v.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<p>GRANTS: FINANCIAL Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records.</p> <p>See also GRANTS Item 30, page 6.</p>	Destroy in office 5 years after submission of final report.*	
36.	<p>INSURANCE FILE Certificates of insurance and related records provided by insurance providers as proof of coverage.</p> <p>See also BILLING AND CLAIMS item 11, page 14, and GRANTS: FINANCIAL item 35, page 17.</p>	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
37.	<p>INVESTMENT RECORDS Includes fund information, portfolio listings and reports, balance sheets, requests to invest and withdrawal, notices, and other related account activity documentation.</p>	Destroy in office after 3 years.*	G.S. § 159-30
38.	INVOICES	Destroy in office after 3 years.*	
39.	LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS	Destroy in office after 3 years.*	G.S. §159-33 and §159-33.1.
40.	LOCAL GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS	Destroy in office after 3 years.*	
41.	MONTHLY BUDGET REPORTS	Destroy in office after 2 years.*	
42.	PAID CHECKS, BILLS AND VOUCHERS	Destroy in office after 3 years.*	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43.	<p>PAYROLL DEDUCTION RECORDS Records used to start, modify, or stop all voluntary or required deductions from payroll. May include bank payments, savings plans, insurance, association dues, W-4 forms, orders of garnishment, etc. Used as proof the employee approved of the deduction(s). Does not include federal tax deduction records.</p>	<p>a) Destroy in office deduction authorization forms and records when superseded or obsolete.</p> <p>b) Destroy in office remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p>
44.	<p>PAYROLL AND EARNINGS RECORDS 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. May include individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.</p>	<p>a) Transfer records documenting personnel actions to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45.</p> <p>b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification.</p> <p>c) Destroy in office all remaining records after 4 years.*</p>	<p>Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.</p> <p>FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)</p>
45.	<p>POPULAR ANNUAL FINANCE REPORT</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office copies when administrative value ends.</p>	
46.	<p>PURCHASE ORDERS Records, forms, packing slips and attached documents concerning purchased supplies, equipment, and services.</p> <p>See also GRANTS: FINANCIAL item 35, page 17.</p>	<p>a) Destroy capital improvement purchase orders 6 years after completion or termination of project.*</p> <p>b) Destroy in office all other purchase orders after 3 years.*</p> <p><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>	
47.	<p>PURCHASING REPORTS AND LOGS Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.</p>	<p>Destroy in office after 1 year.*</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
48.	RECIPIENT CHECK AND CANCELLATION REGISTERS	Destroy in office after 3 years.*	
49.	TELEPHONE LOGS (BILLINGS)	Destroy in office after 1 year.*	
50.	TIME SHEETS, CARDS, AND ATTENDANCE RECORDS Records concerning the work hours and attendance of employees.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy in office all remaining records after 4 years.*	29 CFR 516.5 29 CFR 516.6 29 CFR 825.500 29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4
51.	TRAVEL REIMBURSEMENTS Includes authorizations and requests for reimbursement for travel and related expenses. See also GRANTS: FINANCIAL item 35, page 17.	Destroy in office after 3 years.*	
52.	VENDOR FILE Records concerning specific vendors. May include accounts payable activity, Federal Tax Identification Number, name and address, correspondence and related records.	Destroy in office when administrative value ends.	
53.	VOUCHER REGISTERS FILE	Destroy in office after 3 years.*	
54.	VOUCHERS	Destroy in office after 3 years.*	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<i>ITEM #</i>	<i>STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
55.	WITHHOLDING TAX FILE Records concerning individual employee's income taxes. May include wage and income tax reports, IRS forms W-2, W-3, W-4, 1099, and similar records of withheld federal and state income taxes. May also include 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 used for retirement or similar benefits verification. b) Destroy in office all remaining records after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. 29 CFR 1627.3 26 CFR 31.6001-1 26 CFR 31.6001-4

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-3. INFORMATION TECHNOLOGY (IT) RECORDS

Information technology encompasses all activities undertaken by public library departments 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		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
GENERAL ADMINISTRATION			
Records concerning IT policy development, planning, and the coordination of activities.			
1.	ADMINISTRATION FILE Records concerning the administration of IT services. May include correspondence, memoranda, reports, publications, and other related records.	a) Retain records with historical value permanently. b) Destroy in office when superseded or obsolete.	
2.	POLICIES AND PROCEDURES Records concerning policies and procedures. May include systems development, data retention and disposition, data ownership, and access and security.	a) Retain official copy of internal agency policies permanently. b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information and G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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<i>ITEM #</i>	<i>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
3.	SERVICES PLANNING FILE Plans for information resources management, information systems development, technology acquisitions, data processing services provision, and related functions.	a) Retain records with historical value permanently. b) Destroy in office master copies of plans and supporting records after 3 planning cycles subsequent to completion or revision of plans. c) Destroy in office remaining records when superseded or obsolete.	
4.	PROCUREMENT (HARDWARE & SOFTWARE) FILE Reference copies of records concerning the procurement of system hardware and software. May include request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information, including references and literature on the firm or product line.	Destroy in office when reference value ends.	
5.	PROCUREMENT (IT SERVICES) FILE Reference copies of records concerning the purchasing process, authorizes and provides funds for payments, and satisfies claims by private service providers. May include purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation.	Destroy in office when reference value ends.	
6.	USER CHARGE BACK FILE (IT) Records concerning documentation of usage, calculation of costs, and billing of program units for IT services.	Destroy in office after 3 years. *	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
SYSTEMS AND APPLICATION DEVELOPMENT			
Records concerning the development, modification, procurement, and testing of systems and applications.			
7.	APPLICATION DEVELOPMENT PROJECT FILE Records concerning the development and modification of an automated system or application. May include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.	Destroy in office 3 years after completion of project. <i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long-term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.</i>	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.
8.	APPLICATION DOCUMENTATION FILE Records concerning program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.	Destroy in office 1 year after program is superseded or obsolete. *	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”.

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>DATA DOCUMENTATION FILE Records (sometimes known as metadata) concerning the development and modification of and the access, retrieval, manipulation, and interpretation of data in an automated system. May include data element dictionary, file layout, codebook or table, and other records concerning the meaning, purpose, structure, logical relationships, and origin of the data elements.</p>	<p>Destroy in office 3 years after system or application has been discontinued and after system's or application's instance data have been destroyed or transferred to a new structure or format.</p> <p><i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long-term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.</i></p>	<p>Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".</p>
10.	<p>SYSTEMS DOCUMENTATION FILE Records concerning user and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, system specifications, and input and output specifications.</p>	<p>Destroy in office 3 years after superseded or obsolete.</p> <p><i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long-term and secondary research value beyond the agency). Please see North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems available on Government Records Branch website.</i></p>	
11.	<p>QUALITY ASSURANCE FILE Records concerning the adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, and deadlines. May include reviews, assessments, and supporting documentation.</p>	<p>Destroy in office 3 years after associated source code is superseded or obsolete. *</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	TEST DATABASE FILE Records concerning benchmark data sets, test results constructed or used to test or develop a system, and other related documentation.	Destroy in office when reference value ends. *	
COMPUTER OPERATIONS AND TECHNICAL SUPPORT Records concerning operating systems, maintaining hardware and software, data input services, system backup off-line storage operations, job and production control, monitoring system usage, and liaison with hardware and software vendors.			
13.	AUDIT TRAILS FILE Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years. *	
14.	COMPUTER RUN SCHEDULING Records concerning the scheduling of computer runs. May include daily schedules, run reports, run requests, and other records documenting the successful completion of a run.	Destroy in office when administrative value ends. *	
15.	HARDWARE DOCUMENTATION Records concerning the use, operation, and maintenance of an agency's IT equipment. May include operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	Destroy in office when superseded or obsolete and after transfer of data to new hardware environment.	Comply with applicable provisions of G.S. §132-6.1 (c) on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes".

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<p>INPUT/SOURCE RECORDS Records or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as need for signatures) and not previously scheduled in any agency records schedule.</p>	<p>Destroy in office after completion of data entry and after all verification and quality control procedures.</p> <p><i>Retention Note: Records retained for fiscal audit or legal purposes, or records that include information not entered into the data file, need to be scheduled separately by the responsible program unit.</i></p>	
17.	<p>IT MAINTENANCE CONTRACTS Reference copies of maintenance contracts and related records for data processing equipment. May include copies of contracts, service histories, and work orders.</p>	<p>Destroy in office after administrative value ends.</p>	
18.	<p>OFF-LINE STORAGE LIBRARY CONTROL RECORDS Records (automated or non-automated) concerning control of the location, maintenance, and disposition of off-line storage media. May include lists of holdings, control logs, and scratch reports (file destruction reports).</p>	<p>a) Retain destruction records permanently unless transferred to RECORDS MANAGEMENT FILE item 52, page 9.</p> <p>b) Destroy in office all other records after 3 years.*</p>	
19.	<p>SYSTEM AND HARDWARE CONVERSION PLANS Records concerning the replacement of equipment or computer systems.</p>	<p>Destroy in office 1 year after completion of conversion.</p>	
20.	<p>SCANNING AND DATA ENTRY AUDIT REPORTS Reports documenting the sampling of records produced and what remedial procedures were followed if the expected level of accuracy was not achieved.</p>	<p>Destroy in office after 3 years.*</p>	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<p>SCANNING AND DATA ENTRY QUALITY CONTROL RECORDS Logs and reports documenting quality control procedures and corrective action taken in scanning and data entry processes.</p>	Destroy in office after 3 years.*	
<p>DATA ADMINISTRATION Records concerning data administration support. May include maintenance of data standards, corporate data models, and data definitions and dictionaries.</p>			
22.	<p>DATA/DATABASE DICTIONARY Records concerning the management of data in an agency's information systems and that explain the meaning, purpose, logical relationships, ownership, use, and origin of data. May include information on data element definitions, data structures or file layout, code tables, and other data attribute information.</p>	<p>Destroy in office 3 years after discontinuance or modification of the related application and after application data has been destroyed or transferred to new structure or format.</p> <p><i>Please Note: These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format and that it be listed in a program records retention and disposition schedule.</i></p>	
23.	<p>DATA/DATABASE DICTIONARY REPORTS Periodic printouts from a data/database dictionary system. May include data element attribute reports, database schema, and related records used for reference purposes.</p>	Destroy in office when superseded or obsolete.	
24.	<p>FINDING AIDS (INDEXES)/TRACKING SYSTEMS FILE Includes electronic indexes, lists, registers, and other finding aids providing access to records in paper and electronic format in the custody of the data processing unit.</p>	Destroy in office when related paper or electronic records have been destroyed or transferred in accordance with the disposition of the related paper or electronic records, as appropriate.	

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<i>ITEM #</i>	<i>STANDARD-3: INFORMATION TECHNOLOGY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
USER/OFFICE AUTOMATION SUPPORT Records concerning the support to users of a computer application or office automation system. May include assisting users to solve software and hardware problems, installing hardware or software, providing training, and providing review and recommendation of software for agency use.			
25.	HARDWARE AND SOFTWARE REVIEW Records concerning the review of and recommendations for hardware and software use. May include vendor information, manuals, hardware and software reviews, and other related records.	a) Destroy in office review materials after selected hardware or software is no longer in use. b) Destroy in office review material for non-selected hardware or software after reference value ends.	
26.	HELP DESK TELEPHONE LOGS AND REPORTS Records concerning requests for technical assistance and responses to these requests as well as the collection of information on the use of computer equipment for program delivery, security, or other purposes.	Destroy in office after 2 years. *	
27.	SITE, EQUIPMENT, AND SOFTWARE SUPPORT FILE Records concerning support services provided to specific equipment and software or installations. May include site visit reports, program and equipment service reports, service histories, and correspondence and memoranda.	a) Destroy in office service histories and other summary records when equipment or software is no longer in use. b) Destroy in office remaining records after 3 years.	
28.	TRAINING COURSE INFORMATION (IT) Records concerning training courses run by a user support or office automation support group. May include memoranda, flyers, catalogues, registration forms, rosters, and other related records.	Destroy in office when superseded or obsolete.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
NETWORK AND DATA COMMUNICATION SERVICES Records concerning installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and communicating with network providers.			
29.	CIRCUITS (IT) INVENTORIES FILE Records concerning network circuits used by the agency. May include circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other related records.	Destroy in office when superseded or obsolete.	
30.	NETWORK AND CIRCUIT INSTALLATION AND SERVICE FILE Records concerning requests by departments to public or private providers for data communication service, installation, or repair. May include work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, copies of fiscal documents, and other related records.	Destroy in office 2 years after completion of work. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
31.	NETWORK IMPLEMENTATION PROJECT FILE Records concerning the planning for and implementation of a network. May include reports, justifications, working diagrams of proposed network, wiring schematics, diagrams and other related records.	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
32.	NETWORK SITE AND EQUIPMENT SUPPORT FILE Records concerning support services provided to specific sites and computer to computer interfaces on a network. May include site visit reports, trouble reports, service histories, and correspondence and memoranda.	a) Destroy in office service histories and other summary records when equipment is no longer in use. b) Destroy in office remaining records after 3 years.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
COMPUTER AND INFORMATION SECURITY			
Records concerning measures taken to secure government property, networks, and data.			
<i>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))</i>			
33.	AGENCY INTERNET SERVICES LOGS Electronic files or automated logs created to monitor access and use of services provided via the Internet and use of the internet by employees. May include FTP (file transfer protocol), World Wide Web sites, agency Telnet services, or other service providers.	Destroy in office after 1 year. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
34.	COMPUTER USAGE FILE Electronic files or automated logs created to monitor computer system usage. May include login files, system usage files, data entry logs, data concerning individual computer program usage, security logs, and other related records.	Destroy in office after 3 years. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
35.	COMPUTER SECURITY INCIDENT FILE Records concerning incidents involving unauthorized attempted entry, probes and/or attacks on electronic data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. May include reports, logs, extracts and compilations of data, and other related records.	Destroy in office when administrative value ends. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
36.	DISASTER PREPAREDNESS AND RECOVERY PLANS (IT) Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in secure, off-site location.)	a) Retain records documenting past disaster recovery permanently. b) Destroy in office other records when superseded or obsolete.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	NETWORK USAGE FILE Electronic files or automated logs created to monitor network usage. May include login files, system usage files, and other related records.	Destroy in office when administrative value ends.	
38.	NETWORK USAGE REPORTS Summary reports and other related records created to document computer usage for reporting or other purposes.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
39.	SYSTEM BACKUP FILE Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. (System backup files and records should be stored in secure, off-site location.)	Destroy in office in accordance with your office's established, regular backup plan and procedures. <i>See Also: Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files, available on Government Records Branch website.</i>	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.
40.	SYSTEM USERS ACCESS RECORDS Records concerning control or monitoring individual access to a system and its data.	Destroy in office 1 year after access for employee is withdrawn. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-4. LEGAL RECORDS

Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of public libraries or their individual employees or users.

<i>ITEM #</i>	<i>STANDARD-4: LEGAL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	<p>AFFIDAVITS OF PUBLICATION Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales etc.</p> <p>See also NOTICES OF PUBLIC MEETINGS item 40, page 8.</p>	<p>a) Retain permanently if record provides only evidence of action(s) taken.</p> <p>b) Destroy in office remaining records after 3 years.*</p>	G.S. § 1 Article 50
2.	<p>COMPLAINTS (DISCRIMINATION) Records concerning discrimination charges. May include charges made under the Age Discrimination in Employment Act, Americans with Disability Act, Housing and Urban Development Act, and the Civil Rights Act of 1964.</p>	Destroy in office 2 years after final disposition of the charge.*	
3.	<p>CONTRACTS AND AGREEMENTS Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements, hold harmless agreements, good faith effort documentation and memorandums of understanding.</p>	<p>c) Destroy in office construction (capital improvements) contracts 6 years after completion or termination of project.*</p> <p>d) Destroy in office all other contracts and agreements 3 years after expiration, termination, or completion.*</p> <p>e) Retain contracts and agreements with historical value permanently.</p>	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>CORRESPONDENCE (LEGAL) Correspondence and related records concerning actions taken to recover debts, fines, penalties, and assure violations are addressed.</p>	<p>Destroy in office 3 years after resolution.* See also Public Records with Short Term Value page x. For information on handling electronic mail, see Electronic Records and Digital Imaging section page vii.</p>	<p>Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal counsel.</p>
5.	<p>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS Granted to and by the agency. See also ACCOUNTS PAYABLE item 1, page 13 for disposition of financial records.</p>	<p>a) Retain originals permanently. b) Destroy in office copies when administrative value ends.</p>	
6.	<p>ENCROACHMENTS FILE Records concerning conflicts on land or water rights or obligations.</p>	<p>a) Retain originals permanently. b) Destroy in office copies when administrative value ends.</p>	
7.	<p>INSURANCE POLICIES Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the library.</p>	<p>a) Destroy in office when superseded or obsolete if no outstanding litigation.* b) Destroy other records in office 6 years after settlement. c) Destroy in office copies when administrative value ends.</p>	
8.	<p>LEASES FILE Records concerning leases for property leased by and from other parties and agency property leased to the public. See also GRANTS item 30, page 6.</p>	<p>a) Destroy original records 3 years after termination of lease.* b) Destroy copies in office when administrative value ends.</p>	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<p>LEGAL OPINIONS Formal legal opinions written by counsel in response to requests concerning the governance and administration of local government.</p>	<p>a) Retain original records permanently.</p> <p>b) Destroy copies in office when administrative value ends.</p>	
10.	<p>LEGAL REVIEW RECORDS Includes legal reviews of bylaws and charges to boards and commissions, conflict of interest, and all other departmental matters as requested.</p> <p>See also LEGAL OPINIONS item 9, page 34.</p>	<p>a) Retain records with historical value permanently.</p> <p>b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations.</p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.
11.	<p>LITIGATION CASE RECORDS Civil suits to which the library is a party. May include affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.</p>	<p>a) Retain cases having precedent or historical value permanently.</p> <p>b) Destroy in office adjudicated cases 5 years after final disposition.</p> <p>c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations.</p> <p><i>Retention Note: Records are retained by the Clerk of Superior Court's office in each county.</i></p>	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal counsel.
12.	<p>OATHS OF OFFICE FILE</p>	<p>a) Transfer official copy to the Clerk to the Board.</p> <p>b) Destroy remaining records in office 3 years after official termination.</p> <p><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></p>	

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<i>ITEM #</i>	<i>STANDARD-4: LEGAL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
13.	ORDINANCE AND RESOLUTION DEVELOPMENT RECORDS Records concerning the analysis and development of ordinances and resolutions submitted before the governing board for approval.	Destroy in office development records when ordinance is no longer in effect.	
14.	OWNERSHIP RECORDS (DEEDS, TITLES)	Destroy in office 1 year after library relinquishes ownership of land.*	
15.	VEHICLE TITLES	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	
16.	WARRANTIES	Destroy in office 1 year after expiration of warranty.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-5. PERSONNEL RECORDS

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of library employees. Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ABOLISHED POSITION FILE	Destroy in office when reference value ends.	
2.	ADDRESS FILE	Destroy in office when superseded or obsolete.	
3.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3
4.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b) 29 CFR 1608.4
5.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(e)
6.	APTITUDE AND SKILLS TESTING RECORDS Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations. See also EMPLOYMENT SELECTION RECORDS item 33, page 43.	a) Destroy in office applicant and employee test papers 2 years from date record was created. b) Destroy in office validation studies and copies of tests 2 years after no longer in use. c) Destroy in office records relating to the planning and administration of tests in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

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<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
7.	CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.	a) Destroy in office administrative records 3 years after completion of all audits.* b) Destroy in office yearly enrollment records after 1 year. c) Destroy in office claim records and receipts 3 years after completion of all audits.*	
8.	COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT) Includes notifications, election and claim forms, rejection letters and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	DEFERRED COMPENSATION FILE	Destroy in office when reference value ends.	
10.	DISABILITY SALARY CONTINUATION CLAIMS	a) Transfer original forms to Local Government Retirement System for action when received. b) Destroy in office reference copies after 1 year.	
11.	DISCIPLINARY FILE Correspondence and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering an appeal or an adverse action against an employee.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office all remaining records 2 years after resolution of all actions.	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<p>DRUG AND ALCOHOL PROGRAMS FILE Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms and all other program-related documents.</p>	<p>a) Destroy in office alcohol test results indicating an 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.</p> <p>b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.</p> <p>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.</p> <p>d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a concentration of less than 0.02 after 1 year.</p> <p><i>Retention Note: Records should be maintained in a location with controlled access.</i></p>	<p>49 CFR 382.401 49 CFR 40.333 49 CFR 655.71</p>
13.	<p>DUAL EMPLOYMENT FILE Records concerning employees' requests and authorizations to accept secondary employment.</p>	<p>a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.</p> <p>b) Destroy in office unapproved requests and related records after 6 months.</p>	

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<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
14.	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office other records concerning approved requests when released from all audits. c) Destroy in office records concerning disapproved requests 6 months after disapproval.*	
15.	EMPLOYEE BENEFITS REGISTER	Destroy in office after 2 years.	
16.	EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS Records concerning certification or qualification as required for employment, continued employment, or promotion. See also EMPLOYMENT APPLICATIONS AND RESUMES item 31, page 42.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office all remaining records 2 years after resolution of all actions.	
17.	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.	Destroy in office when superseded or obsolete.	
18.	EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS Includes records requesting tuition assistance, repayments, and other related records.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office other records 3 years after completion, denial, repayment, and removal from program.*	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	EMPLOYEE ELIGIBILITY RECORDS Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.	a) Destroy in office certificates, I-9 forms and statements, 3 years after individual was hired or 1 year from date of separation. b) Destroy in office registers after 2 years.	8 USC 1324(b)
20.	EMPLOYEE EXIT INTERVIEW RECORDS	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office all remaining records after 1 year.	
21.	EMPLOYEE HEALTH CERTIFICATES Includes health or physical examination reports or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy all other records in office 2 years after resolution of all actions.	29 CFR 1602.31
22.	EMPLOYEE MEDICAL RECORDS 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.)	a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.* b) Destroy in office records pertaining to job-related illness and injury after 5 years. c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year. <i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i>	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910
23.	EMPLOYEE PENSION AND BENEFITS PLANS Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
24.	EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Transfer pension and deferred compensation enrollment forms to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy life, health, and disability insurance enrollment forms 4 years after termination of coverage.	
25.	EMPLOYEE PERFORMANCE REVIEW FILE	a) Destroy in office supervisor approved and signed work plans after 3 years. b) Destroy in office remaining records when administrative value ends.	
26.	EMPLOYEE POLYGRAPH RECORDS Includes statements informing employee of the time, place and reasons for the test. Copy of notice sent to examiner identifying employee to be tested. 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.	29 CFR 801.30
27.	EMPLOYEE SECURITY RECORDS Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.	Destroy in office when administrative value ends.	
28.	EMPLOYEE SUGGESTIONS	Destroy in office when administrative value ends.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<p>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.</p>	<p>a) Transfer employee-specific records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45 if such training and testing is required for the position held or could affect career advancement.</p> <p>b) Destroy in office non-employee-specific records 1 year from date record was created.</p> <p>c) Destroy in office remaining records when administrative value ends.</p>	29 CFR 1627.3
30.	<p>EMPLOYEE WORKS SCHEDULES AND ASSIGNMENT RECORDS Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.</p>	Destroy in office when administrative value ends.	
31.	<p>EMPLOYMENT APPLICATIONS AND RESUMES Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letter of reference and similar records.</p>	<p>a) Transfer application, resumes, transcripts and similar records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45.</p> <p>b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created, received, or the personnel action involved.</p> <p>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.*</p> <p>d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates in office 2 years after receipt.</p>	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49
32.	<p>EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS</p>	Destroy in office after 2 years.	29 CFR 1602

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
33.	<p>EMPLOYMENT SELECTION RECORDS Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.</p> <p>See also APTITUDE AND SKILLS TESTING RECORDS item 6, page 36.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45.</p> <p>b) Destroy in office all remaining records in office 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
34.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the library.</p>	<p>a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45</p> <p>b) Destroy in office all remaining records 2 years after resolution of case.*</p>	<p>29 CFR 1602.31</p>
35.	<p>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.</p>	<p>Destroy in office after 3 years.</p>	<p>29 CFR 1602</p>
36.	<p>EQUAL PAY RECORDS Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.</p>	<p>Destroy in office after 2 years.</p>	<p>29 CFR 1620.32</p>

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS 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.	Destroy in office 3 years after leave ends.*	29 CFR 825.500(b)
38.	FRINGE BENEFITS FILE	Destroy in office when reference value ends.	
39.	GRIEVANCE FILE Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence. See also DISCIPLINARY FILE item 11, page 96.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office all remaining records after 2 years.	
40.	HEALTH INSURANCE FILE Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
41.	INCREMENTS FILE	Destroy in office when released from all audits.	
42.	INTERNSHIP PROGRAM FILE	Destroy in office after 3 years.	
43.	LEAVE FILE Records concerning employee leave including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc.	a) Destroy in office records concerning military service leave 5 years after returning for active duty.* b) Destroy in office records concerning non-military service leave after 5 years.*	5 CFR 1208 29 CFR 825.500(b)
44.	LEAVE WITHOUT PAY FILE	Destroy in office 5 years after return of employee or termination of employment.	
45.	LONGEVITY PAY REQUESTS	Destroy in office when released from all audits.	

*See **AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS**, page v.

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46.	MERIT AND SENIORITY SYSTEM RECORDS	a) Destroy in office employee-specific records after 3 years. b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
47.	PERSONNEL ACTION NOTICES 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.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office all remaining records 2 years from date record was created, received, or the personnel action involved.	
48.	PERSONNEL RECORDS (OFFICIAL COPY) Official copy of personnel file maintained on each agency employee. May include 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 EMPLOYEE MEDICAL RECORDS item 22, page 40.	Destroy in office 30 years from date of separation.	G.S. § 160A-168 (Municipal Employees) G.S. § 153A-98 (County Employees)
49.	PERSONNEL RECORDS (REFERENCE COPY) Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.	a) Transfer records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office remaining records when administrative value ends.	
50.	POLICIES AND PROCEDURES (PERSONNEL)	a) Retain official copy of internal agency personnel policies permanently. b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
51.	POSITION CLASSIFICATION/POSITION HISTORY FILE See also POSITION DESCRIPTION RECORDS item 53, page 46.	a) Destroy in office when superseded or obsolete. b) Retain records with historical value permanently.	
52.	POSITION CONTROL CARDS	Destroy in office when reference value ends.	
53.	POSITION DESCRIPTION RECORDS Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from the date record is superseded.	29 CFR 1620.32
54.	POSITION REQUISITION AND ANALYSIS RECORDS Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.	
55.	SALARY SURVEY RECORDS	Destroy in office when administrative value ends.	
56.	SERVICE AWARDS AND COMMENDATIONS Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.	a) Transfer employee-specific records as applicable to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) Destroy in office all remaining records 2 years from date record was created, received, or the personnel action involved.	
57.	TEMPORARY EMPLOYEE RECORDS Records concerning temporary employees who were not provided or eligible for benefits. Does not include personnel records created for specific federal programs.	a) If employee is a library employee, transfer applicable records to PERSONNEL RECORDS (OFFICIAL COPY) item 48, page 45. b) If the employee is a temporary service company employee, destroy in office 3 years from date of separation.	

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<i>ITEM #</i>	<i>STANDARD-5: PERSONNEL RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
58.	UNEMPLOYMENT COMPENSATION CLAIMS Claim form and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	
59.	UNEMPLOYMENT COMPENSATION REPORTS 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 Employment Security Commission.	Destroy in office after 3 years.*	
60.	UNEMPLOYMENT INSURANCE FILE	a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received. b) Destroy in office remaining records after 2 years.	
61.	VOLUNTEER RECORDS Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
62.	WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE Includes program policies, guidelines, and related administrative documentation.	a) Retain records with historical value permanently. b) Destroy in office when administrative value ends.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
63.	<p>WORKERS' COMPENSATION PROGRAM CLAIMS FILE Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical 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 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 claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with library personnel policy. 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. Destroy remaining records in office 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>b) If official action has been initiated, transfer to LITIGATION CASE RECORDS item 11, page 34.</p>	<p>Comply with applicable provisions of G.S. § 8-53 regarding the confidentiality of physician-patient records.</p>

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

STANDARD-6. PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS

Official records and materials created and accumulated by county, municipal, and regional library systems.

<i>ITEM #</i>	<i>STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ACQUISITIONS FILE Lists of library materials ordered and received.	Destroy in office when superseded.	
2.	CATALOGING REPORTS AND STATISTICS Routine reports of cataloging work accomplished.	Retain in office for 1 year.	
3.	CIRCULATION RECORDS – ITEM HISTORY Records documenting the circulation history of specific items in the library collection.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
4.	CIRCULATION RECORDS – USER HISTORY Records documenting the borrowing history of library users.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
5.	COMPUTER WORKSTATION RESERVATIONS Logs and sign-in sheets for public computers.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
6.	EQUIPMENT USE RECORDS Records of the loan or use of library equipment by the public and may include the loan or use of public access computers, DVD, or videotape players, cassette tape recorders, film projectors and other audio-visual equipment.	Destroy in office when administrative value ends.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<i>ITEM #</i>	<i>STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
7.	FEDERAL DEPOSITORY ACCOUNT FILE Deposit Account Statements (GPO Form 1395) which provide data concerning the library's account at the Superintendent of Public Documents Office. Forms may include account numbers, stock numbers, account balances and other related information. May include other records concerning the library's account.	Destroy in office after 5 years.*	
8.	FEDERAL DEPOSITORY LIBRARY CERTIFICATION Records concerning the certification of the library by the Superintendent of Documents for being an authorized depository library. File may include certificate of inspections, correspondence regarding the status of the library's certification, inspection reports and related records.	Destroy in office when administrative value ends.	
9.	FEDERAL DEPOSITORY SHIPPING LIST Shipping list concerning depository items received from the Government Shipping Office. Shipping list may include description of items, classification numbers, item numbers and related information.	Destroy in office after 2 years.	
10.	FEDERAL DOCUMENTS CHECK-IN RECORDS Information concerning library receipt of Federal Documents.	Destroy in office when administrative value ends.	
11.	FEDERAL DOCUMENTS STATISTICAL TRACKING REPORTS Reports concerning totals of federal documents received and/or destroyed by the library. Reports may include total number of acquisitions, total number of document withdrawals, and total number of documents remaining in the collection.	Destroy in office when administrative value ends.	

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ITEM #	STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	FINES AND REPLACEMENT CHARGE RECORDS Records relating to payments for fines and replaced library materials. Includes interlibrary loan materials.	a) Destroy in office individual user records when administrative value ends. b) Transfer other records as applicable to DAILY CASH REPORT item 24, page 16.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
13.	HOLDINGS FILE Inventory of the library's holdings. Also known as Catalog Cards or Shelf list.	Destroy in office when superseded.	
14.	INTERLIBRARY LOAN DUPLICATION RECORDS Records of expenses and reimbursements to copy or duplicate materials for interlibrary loans.	a) Destroy in office individual user records when administrative value ends. b) Transfer other records as applicable to DAILY CASH REPORT item 24, page 15.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
15.	INTERLIBRARY LOAN REQUEST FILE (BORROWING LIBRARY) Interlibrary loan requests made from other libraries.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
16.	INTERLIBRARY LOAN REQUEST FILE (LENDING LIBRARY) Interlibrary loan requests received from other libraries.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
17.	LIBRARY ANNUAL REPORT Annual report submitted to the Department of Cultural Resources.	Retain in office permanently.	G.S. §125-5

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<i>ITEM #</i>	<i>STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
18.	LIBRARY USAGE STATISTICS Statistics collected on library usage, items circulated, information requests, and other library sponsored activities.	Destroy in office when incorporated into annual report.	
19.	PROGRAM REGISTRATION RECORDS Registration records for library sponsored events and may include sign-up sheets or completed registrations.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
20.	REFERENCE REQUEST RECORDS Records of reference requests submitted by users.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
21.	USER APPLICATIONS Forms submitted by individuals to request borrowing privileges from the library.	a) Destroy in office upon verification of input into automated system. b) Retain in office 30 days after expiration if not entered into an automated system.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.

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STANDARD-7. PUBLIC RELATIONS RECORDS

Official records and materials created and accumulated by internal public information programs operated by library administrative offices.

<i>ITEM #</i>	<i>STANDARD-7: PUBLIC RELATIONS RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ADVERTISEMENTS Includes advertisements of special events and services concerning the agency which appear in newspapers, journals, newsletters etc.	a) Destroy the advertisements in office 3 years after expiration.* b) Destroy in office billing information and other fiscal records when released from all audits. c) Retain record with historical value permanently. d) Destroy remaining records in office when reference value ends, but within 5 years.	
2.	AGENCY PUBLICATIONS	a) Retain records with historical value permanently. b) Destroy remaining copies in office when administrative value ends.	
3.	AUDIO RECORDINGS (PUBLIC RELATIONS)	a) Retain records with historical value permanently. b) Destroy remaining records in office when administrative value ends.	
4.	BIOGRAPHICAL DATA	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends.	
5.	FILMS FILE	a) Retain records with historical value permanently. b) Destroy in office remaining films when administrative value ends.	

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<i>ITEM #</i>	<i>STANDARD-7: PUBLIC RELATIONS RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
6.	NEWS CLIPPINGS	a) Retain records with historical value permanently. b) Destroy in office remaining items when reference value ends.	
7.	NEWS AND PRESS RELEASES	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
8.	PHOTOGRAPHS	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
9.	PUBLIC RELATIONS FILE Records concerning overall public relations of library administrative offices. May include procedures, correspondence, and other related records.	Destroy in office after 5 years.	
10.	SLIDES	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
11.	SPEECHES	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
12.	VIDEO RECORDINGS	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
13.	VISUAL AIDS	Destroy in office when administrative value ends.	

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<i>ITEM #</i>	<i>STANDARD-7: PUBLIC RELATIONS RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
14.	WEBSITE (ELECTRONIC) FILE Electronic records concerning the administration and maintenance of the library's Web site. (A network administrator or information systems office may maintain electronic files.)	a) Retain records with historical value permanently. Can be maintained in electronic or paper form. b) Erase/destroy in office when superseded or obsolete.	

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STANDARD-8. RISK MANAGEMENT RECORDS

Official records created and accumulated for use by public library risk management offices.

<i>ITEM #</i>	<i>STANDARD-8: RISK MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE) See also WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 63, page 48.	a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION PROGRAM CLAIMS FILE item 63, page 48. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years. e) Destroy in office reports of minors after minor has reached age of 21.	
2.	ASBESTOS MANAGEMENT PLAN	a) Destroy in office 1 year after building is demolished. b) If building is sold transfer records to new owner.	29 CFR 1910.1001
3.	BLOODBORNE PATHOGEN TRAINING RECORDS Includes records showing date of training sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors.	Destroy in office after 3 years.	29 CFR 1910.1030(h)(2)(ii).
4.	CLAIM COST REPORTS AND/OR STATEMENTS	Destroy in office after 3 years.*	

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ITEM #	STANDARD-8: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	DISASTER AND EMERGENCY MANAGEMENT PLANS Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious).	Destroy in office when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.6 regarding the confidentiality of security records.
6.	EMPLOYEE MEDICAL EXPOSURE RECORDS Records concerning the exposure of employees to potential hazardous materials, including asbestos and bloodborne pathogens.	Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*	29 CFR 1910.
7.	FIRE AND SAFETY FILE	Destroy in office when superseded or obsolete.	
8.	FUEL OIL STORAGE TANK RECORDS	Destroy in office closure records 3 years after completion of permanent closure.	40 CFR 280.34 40 CFR 280.74
9.	HAZARDOUS MATERIALS TRAINING RECORDS Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.	Destroy in office after 5 years.	
10.	HEALTH AND SAFETY RECORDS Records concerning agency safety measures. May include reports, logs and similar records documenting health and safety inspections of agency facilities.	Destroy in office when superseded or obsolete.	
11.	HOLD HARMLESS AGREEMENTS Agreements assuming liability. These agreements may be between the local government and an individual or a business. See also CONTRACTS AND AGREEMENTS item 3, page 32.	Destroy in office 3 years after date of termination or settlement of all claims.*	

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ITEM #	STANDARD-8: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	INSURANCE AUDITS, SURVEYS AND REPORTS	Destroy in office when administrative value ends.	
13.	LOSS CONTROL INSPECTION REPORTS Self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property.	Destroy in office when administrative value ends.	
14.	LOST AND STOLEN PROPERTY REPORTS Includes reports of vandalism.	Destroy in office after 3 years.*	
15.	MATERIAL SAFETY DATA SHEETS Forms supplied to local government 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 it was used, and when it was used is retained the required 30 year period.</i>	29 CFR 1910.1200 and 29 CFR 1910.22E
16.	NOTIFICATION OF PENALTY ASSESSMENT FILE	Destroy in office after 6 years.	
17.	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms 101 and 200.	Destroy in office after 5 years.	
18.	RESPIRATOR PROGRAM RECORDS Includes respirator fit test records.	Destroy in office when administrative value ends.	
19.	SELF-INSURER CERTIFICATION FILE	Destroy in office 6 years from date of termination or settlement of all claims.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

<i>ITEM #</i>	<i>STANDARD-8: RISK MANAGEMENT RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
20.	U.S. BUREAU OF LABOR STATISTICS AND SUMMARY FILE	Destroy in office when administrative value ends.	

*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

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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 Standard Number _____ Page _____ Item Number _____
- Change an retention period 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

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