RECORDS RETENTION AND DISPOSITION SCHEDULE

PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES

Issued By:

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

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PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES RECORDS RETENTION AND DISPOSITION SCHEDULE

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

Agency Director, CEO

David Brook, Director
Division of Historical Resources

APPROVED

Chairman, Agency Governing Board

Lisbeth C. Evans, Secretary
Department of Cultural Resources

April 1, 2006

Transportation System/Authority Name

EXECUTIVE SUMMARY

Q. Why do I need this schedule?

A. 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 agency is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.

Q. When can I destroy records?

A. 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 "Retain in office permanently," which means that those records must be kept in your offices forever.

Q. What film services do you provide?

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

At the time this schedule is published, there is no fee for the filming or for storage. There will be a fee if you request duplicate reels of film, or if we destroy your adoption records after filming. Contact the analyst assigned to your county for the most current information.

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 larger disasters.

Q. Who 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.

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 local governments across the state to use when managing the records in their offices. It lists records commonly found in transportation authorities, 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 agency 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. Why do I need this schedule?

A. 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 agency is obligated to obtain permission to destroy *any* record, no matter how insignificant.

Q. How do I get it approved?

A. The governing Board of your agency must approve this schedule for use by 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. 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. Can 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 could 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 local government 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. Who 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 ACTION

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 maybe 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 county 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 agency 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 governing board on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.

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 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.

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.ah.dcr.state.nc.us/records/):

- *E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition*
- *E-Mail User Guidelines Checklist*
- *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 in a county. Once those records are filmed, we will store the silver original in our security vault.

At the time this schedule is published, there is no fee for the filming or for storage. There will be a fee if you request duplicate reels of film, or if we destroy your adoption records after filming. 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.ah.dcr.state.nc.us/records/micro.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 books 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 government agencies 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 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. Just 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 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 office administration of public transportation systems and authority offices.

ITEM #	***STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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 and copies of supporting documentation submitted and discussed during meetings of public bodies. See also **MINUTES OF PUBLIC BODIES** item 35, page 7.	a) Retain records with historical value permanently. b) Destroy in office 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 individuals appointed 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.*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**AUDITS: PERFORMANCE** Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, and related records. See also **AUDITS: FINANCIAL**, Item 6, page 13.	a) Retain reports permanently. b) Destroy in office working papers and remaining records 3 years after the date of the report.	
7.	**AUDIO AND VIDEO RECORDING OF MEETINGS**	Destroy in office after approval of official written minutes.	
8.	**BLUEPRINTS AND SPECIFICATIONS** Blueprints and specifications of agency owned buildings and facilities. May include as-built plans and related documentation concerning approved changes.	Retain 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.	**BUSINESS LICENSES**	Destroy in office 5 years after expiration.	
11.	**CALENDARS OF EVENTS AND APPOINTMENTS**	Destroy in office when superseded or obsolete.	
12.	**CHARTER RECORDS** Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
13.	**CITIZEN COMPLAINTS AND SERVICE REQUESTS** Records concerning objections, dissatisfaction or disagreements with actions or positions taken or not taken by the agency. May include routine requests for service or information and petition with no legal affect.	Destroy in office 1 year after resolution.*	

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

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
14.	**CONFERENCES AND WORKSHOPS FILE** Record concerning conferences and workshops conducted or attended by county employees. See also **EMPLOYEE TRAINING AND EDUCATIONAL RECORDS** item 31, page 42.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	
15.	**CORRESPONDENCE AND MEMORANDA**	a) Retain records with historical value permanently. b) Destroy routine administrative correspondence and memoranda when administrative value ends. c) Destroy in office remaining records after 3 years. See also **Public Records with Short Term Value** page x. For information on handling electronic mail, See **Electronic Records & Digital Imaging** section page vii.	
16.	**DONATIONS AND SOLICITATIONS**	Destroy in office after 1 year.	
17.	**EQUIPMENT AND PROPERTY INVENTORIES** Inventories describing the type of property or equipment, its location and related information.	Destroy in office when superseded or obsolete.	
18.	**EQUIPMENT AND VEHICLE REFERENCE FILE** Includes operation, specification and technical manuals, brochures, bulletins and related records.	Destroy in office when superseded, obsolete or asset is no longer owned.	
19.	**EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS** Records concerning the maintenance, repair and inspection of agency owned facilities. See Also **GRANTS** Item 27, page 5.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of equipment. b) Retain for life of equipment records documenting all other equipment maintenance and repairs.	

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

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
20.	**EQUIPMENT, FACILITY AND VEHICLE 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. See Also **GRANTS** Item 27, page 5.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records after 1 year.	
21.	**FACILITY ACCESSIBILITY FILE** Records concerning compliance with the Americans with Disabilities Act (ADA). May include survey of county buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.	Destroy in office after 5 years.*	29 CFR 1602 (1992).
22.	**FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS** Records concerning the maintenance, repair and inspection of agency owned facilities. See Also **GRANTS** Item 27, page 5.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of facilities. b) Destroy records concerning all other facility maintenance, repair and inspection (including plumbing, electrical, fire and other systems) in office after 3 years.	
23.	**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.	
24.	**GOALS AND OBJECTIVES**	a) Retain records with historical value permanently. b) Destroy in office remaining records when superceded or obsolete.	

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

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
25.	**GRANT CONTRACT APPEALS CASES**	Destroy in office 10 years after final action or decision.*	
26.	**GRANT PROPOSALS**	a) Transfer records concerning approved grants to **GRANTS** item 27, page 5 if approved. b) Destroy in office rejected or withdrawn grant proposals when reference value ends.	
27.	**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. See also **GRANTS: FINANCIAL RECORDS** item 35, page 17.	a) Destroy in office records relating to specific non-continuing grants 5 years after termination or when released from audit, whichever occurs later. b) Destroy in office yearly records relating to specific continuing grants 5 years after annual financial report is filed. c) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.	
28.	**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.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superceded or obsolete.	
29.	**INDEX FILE**	Destroy in office when reference value ends.	
30.	**LEGISLATION AND REGULATORY RECORDS** Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	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***
31.	**LITIGATION CASE FILE** Legal cases in which the agency is a party.	a) Transfer to **LITIGATION CASE RECORDS** item 11, page 34 when reference value ends. b) Destroy copies in office when administrative value ends.	Comply with applicable provisions of G.S. §132-1.1 regarding confidentiality of legal records.
32.	**LOST AND STOLEN PROPERTY REPORTS** Includes reports of vandalism.	Destroy in office after 3 years.*	
33.	**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 carries.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office all other records when administrative value ends.	G.S. § 142-318.12 (b) 2
34.	**MANAGEMENT STUDIES**	a) Retain record with historical value permanently. b) Destroy in office remaining records when superceded or obsolete.	

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

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
35.	**MINUTES OF PUBLIC BODIES** As defined by § 143-318.10 (b), include 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. May also include minutes of subcommittees of the governing board and its subsidiary and advisory boards See the **Microfilm** section on page viii for instructions on microfilming	a) The official minutes of the governing board and its subsidiary boards are considered to be permanent records. The NC State Archives offers free security microfilming services for such 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, and offers free security microfilming services for such records 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, and offers free security microfilming services for such records. 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
36.	**MINUTES (STAFF MEETINGS)** Minutes of meetings including all referenced and attached documentation.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends.	G.S. § 143-318.10(c)
37.	**NOTICES OF PUBLIC MEETINGS** Includes notices and regular meeting schedules.	Destroy in office when administrative value ends.	

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

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
38.	**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 tapes.	a) Destroy in office or reuse after 30 days tapes not required to support known investigations or litigation b) Destroy in office after 1 year.	Comply with applicable provisions of G.S.§132-1.6 regarding the confidentiality of security records.
39.	**ORDINANCES** Includes code of ordinances and ordinance development records.	a) Retain official copy permanently. See the **Microfilm** section on page viii for instructions on microfilming. b) Destroy in office additional copies (including tabled or failed ordinances) when administrative value ends. c) Destroy in office development records when ordinance is no longer in effect or when administrative value ends, whichever occurs first.	
40.	**ORGANIZATION RECORDS** Includes organizational charts, reorganization studies and similar records describing the arrangement and administrative structure of the agency.	a) Retain records with historical value permanently. b) Destroy in office all other copies when superseded or obsolete.	
41.	**PARKING FILE** Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	
42.	**PETITIONS (CITIZEN)**	Destroy in office when administrative value ends.	
43.	**PLANNING AND DEVELOPMENT FILE** Records concerning the formulation, planning and adoption of policies, procedures and functions of the agency and its departments.	a) Retain record with historical value permanently. b) Destroy in office remaining records when administrative valve ends.	
44.	**PRINTING REQUESTS**	Destroy in office when reference value ends.	

*See ***AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS, p****age v.*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
45.	**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. See Also **GRANTS** Item 27, page 5.	a) Retain records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
46.	**PUBLICATIONS RECEIVED** Includes books, magazines, periodicals, pamphlets, brochures, journals and newspapers, whether printed or electronic.	Destroy in office when reference value ends.	
47.	**PUBLICATION AFFIDAVITS** Verifications from newspapers that public notices have been published.	Destroy in office after 2 years.	
48.	**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.	
49.	**PUBLIC RECORDS DISCLOSURE FILE** Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
50.	**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.	
51.	**REFERENCE (READING) FILE** Subject files containing informational copies of record 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***
52.	**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, sub-annual, or irregularly prepared reports and studies generated by an agency or prepared by consultants hired by the agency.	a) Retain in office 1 copy of all biennial and annual reports permanently. b) Retain reports and studies prepared by request of an agency's governing body or a court permanently. c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually. d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis. e) Destroy in office remaining reports and studies when administrative value ends. *Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.*	
53.	**REQUESTS FOR PROPOSALS** Proposals submitted by vendors in response to requests from departments. See also **BIDS FOR PURCHASE** item 9, page 14.	Destroy in office when administrative value ends.	
54.	**REQUISITIONS FILE** Requests for payment of parts and inventory items.	Destroy in office after 1 year.	
55.	**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.	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.*

ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
56.	**RESOLUTIONS, PROCLAMATIONS AND ORDERS**	a) Retain one copy permanently. See the **Microfilm** section on page viii for instructions on microfilming. b) Destroy in office additional copies (including those tabled or failed) when administrative value ends. c) Destroy in office development records when administrative value ends.	
57.	**SURPLUS PROPERTY FILE**	Destroy in office 3 years after disposition of property.*	
58.	**TELEPHONE USAGE LOGS AND REPORTS**	Destroy in office when administrative value ends.	
59.	**TRAVEL REQUESTS**	Destroy in office after 1 year.*	
60.	**VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS** Records documenting the maintenance, repair and inspection of agency owned vehicles. See Also **GRANTS** Item 27, page 5.	a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning and maintenance of vehicles. b) Retain for life of vehicle records documenting all other maintenance and repairs.	
61.	**WORK ORDERS (EQUIPMENT REPAIR)** Records include date and location or work, cost of materials used and labor, type of work preformed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for **EQUIPMENT MAINTENANCE, REPAIR AND INSPECTION RECORDS** item 19, page 3.	
62.	**WORK ORDERS (FACILITY REPAIR)** Records include date and location or work, cost of materials used and labor, type of work preformed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for **FACILITY MAINTENANCE, REPAIR AND INSPECTION RECORDS** item 22, page 4.	

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ITEM #	STANDARD-1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
63.	**WORK ORDERS (VEHICLE REPAIR)** Records include date and location or work, cost of materials used and labor, type of work preformed and similar information.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting work was completed follow disposition instructions for **VEHICLE MAINTENANCE, REPAIR AND INSPECTION RECORDS** item 60, 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 transportation systems and authority offices.

ITEM #	***STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACCOUNTS PAYABLE** Records concerning the status of accounts in which the county 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 statement and financial related 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 WARRENTS.**	Destroy in office after 3 years.*	
9.	**BIDS FOR PURCHASE** Records concerning quotes to supply products and services. May include advertisements, requests for proposals, and tabulations, bid bonds, awards letters, records of bids 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 after 3 years after settlement.*	
12.	**BOND AND OTHER DEBT FINANCIAL RECORDS** Includes banks statements, reconciliation records, requisitions, and notices of principle and interest due.	Destroy in office 3 years after all debts and obligations have 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 all debts and obligations have 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 in office 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 official/audit copies after 3 years.* b) Destroy remaining records after 1 year.	
20.	**CHECK REGISTER, VARIOUS FUNDS**	a) Destroy computerized check registers in office 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**	a) Destroy 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 after 3 years year-end summaries of receipts and disbursements. b) Destroy in office after 1 year daily, monthly or quarterly transaction detail journals and ledgers.	

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

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
35.	**GRANTS: FINANCIAL** Records concerning approved federal, state, and private grants. May include all relevant accounting, purchasing, payroll, and financial records. See Also **GRANTS** Item 27, page 5.	Destroy in office after 5 years after submission of final report.*	
36.	**INSURANCE FILE** Certificates of insurance and related records provided by insurance provides as proof of coverage. See also **BILLING AND CLAIMS** item 11, page 14. See also **GRANTS: FINANCIAL** Item 35, page 17.	Destroy in office 3 years from date of termination, expiration, or settlement of all claims.*	
37.	**INVESTMENT RECORDS** Includes fund information, portfolio listings and reports, balance sheets, requests to invest and withdrawal, notices, and other related account activity documentation.	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 year.*	
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.	**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.	a) Destroy in office deduction authorization forms and records when superseded or obsolete. b) Destroy remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.
44.	**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.	a) Transfer records documenting personnel actions to **PERSONNEL RECORDS (OFFICIAL COPY)**, Item 48, page 45. b) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. c) Destroy all remaining records in office after 4 years.*	Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records. FICA Reg. § 316001-1 29 CFR 516.2, 516.5 29 CFR 1627.3(a)
45.	**PURCHASE ORDERS** Records, forms and attached documents used to purchase supplies, equipment, and services. See Also **GRANTS: FINANCIAL** Item 35, page 17.	Destroy in office after 3 years.*	
46.	**PURCHASING REPORTS AND LOGS** Reports and logs containing quote information such as vendor name, item descriptions, price, award dates, and related information.	Destroy in office after 1 year.*	
47.	**RECIPIENT CHECK AND CANCELLATION REGISTERS**	Destroy in office after 3 years.*	
48.	**TELEPHONE LOGS (BILLINGS)**	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***
49.	**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 all remaining records in office 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
50.	**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.*	
51.	**VEHICLE MAINTENANCE FILE** Includes billing records. 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.*

ITEM #	STANDARD-2: BUDGET, FISCAL AND PAYROLL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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.	a) Destroy in office 30 years from date of separation records used for retirement or similar benefits verification. b) Destroy all remaining records in office 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 county 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, memorandums, 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, and data ownership, access and security.	a) Retain official copy of internal agency policies permanently. b) Destroy 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".

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

ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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, authorize and provide funds for payments, and satisfy 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** 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. *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.*	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.	**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.	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. *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.*	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".
10.	**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.	Destroy in office 3 years after superseded or obsolete. *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.*	
11.	**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.	Destroy in office 3 years after associated source code is superseded or obsolete. *	

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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".

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
16.	**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.	Destroy in office after completion of data entry and after all verification and quality control procedures. *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.*	
17.	**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.	Destroy in office after administrative value ends.	
18.	**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).	a) Retain destruction records permanently unless transferred to **RECORDS MANAGEMENT FILE**, item 50, page 9. b) Destroy all other records in office after 3 years.*	
19.	**SYSTEM AND HARDWARE CONVERSION PLANS** Records concerning the replacement of equipment or computer systems.	Destroy in office 1 year after completion of conversion.	
20.	**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.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
21.	**SCANNING AND DATA ENTRY QUALITY CONTROL RECORDS** Logs and reports documenting quality control procedures and corrective action taken in scanning and data entry processes.	Destroy in office after 3 years.*	
DATA ADMINISTRATION Records concerning data administration support. May include maintenance of data standards, corporate data models, and data definitions and dictionaries.			
22.	**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, or origin of data. May include information on data element definitions, data structures or file layout, code tables, and other data attribute information.	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. *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 offline. 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.*	
23.	**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.	Destroy in office when superseded or obsolete.	
24.	**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.	Destroy in office when related paper or electronic records have been destroyed or transfer in accordance with the disposition of the related paper or electronic records, as appropriate.	

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ITEM #	STANDARD-3: INFORMATION TECHNOLOGY RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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 memorandums.	a) Destroy service histories and other summary records when equipment or software is no longer in use. b) Destroy remaining records after 3 years.	
28.	**TRAINING COURSE INFORMATION** Records concerning training courses run by a user support or office automation support group. May include memorandums, flyers, catalogues, registration forms, rosters, and other related records.	Destroy in office when superseded or obsolete.	

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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 communications with network providers.			
29.	**CIRCUITS 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, memorandums, 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 service histories and other summary records when equipment is no longer in use. b) Destroy 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. *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))*			
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 site, 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 log-in 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 after 1 year or 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** 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 in office records documenting past disaster recovery permanently. b) Destroy in office after 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 log-in 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. *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.*	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 after access for employee is withdrawn. *	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of public security information.

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STANDARD-4. LEGAL RECORDS
Official law and legal documentation created or accumulated to substantiate the rights, obligations, or interests of public transportation systems and authorities or individual employees and clients.

ITEM #	***STANDARD-4: LEGAL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**AFFIDAVITS OF PUBLICATION** Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, pubic sales etc.	a) Retain in office permanently if record provides only evidence of action(s) taken. b) Destroy remaining records in office after 3 years.*	G.S. § 1 Article 50
2.	**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.	a) Destroy in office 2 years after final disposition of the charge. b) Transfer to **LITIGATION CASE RECORDS** item 11, page 34 if legal action is taken.	
3.	**CONTRACTS AND AGREEMENTS** Contracts and agreements for construction, equipment, supplies, services, special programs, and projects. May include franchise agreements and memorandums of understanding.	a) Destroy construction (capital improvements) contracts 6 years after completion or termination of project.* b) Destroy all other contracts and agreements 3 years after expiration, termination, or completion.* c) Retain contracts and agreements with historical value permanently.	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
4.	**CORRESPONDENCE (LEGAL)** Correspondence and related records concerning actions taken to recover debts, fines, penalties, and assure violations are addressed.	a) Destroy in office 3 year after resolution. b) Transfer to **LITIGATION CASE RECORDS** item 11, page 34 if legal action is taken. See also **Public Records with Short Term Value** page x. For information on handling electronic mail, See **Electronic Records & Digital Imaging** section page vii.	Comply with provisions of G.S. § 132-1.1(a) regarding the confidentiality of written communications by legal council.
5.	**EASEMENTS AND RIGHT OF WAY AGREEMENTS** Granted to and by the agency.	a) Retain originals permanently. b) Destroy copies in office when administrative value ends.	
6.	**ENCROACHMENTS** Records concerning conflicts on land or water rights or obligations.	a) Retain originals permanently. b) Destroy copies in office when administrative value ends.	
7.	**INSURANCE POLICIES** Records concerning purchased accident, sickness, automobile, theft, fire, life, and all other insurance policies purchased by the agency.	a) Destroy original records 6 years from date of termination or settlement of all claims, whichever occurs first.* b) Destroy copies in office when administrative value ends.	
8.	**LEASES** Records concerning leases for property leased by and from other parties and agency property leased to the public. See Also **GRANTS** Item 27, page 5.	a) Destroy original records 3 years after termination of lease.* b) Destroy copies in office when administrative value ends.	
9.	**LEGAL OPINIONS** Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.	a) Retain in office original records permanently. b) Destroy copies in office when administrative value ends.	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
10.	**LEGAL REVIEW RECORDS** Includes legal reviews of by-laws and charges to boards and commissions, conflict of interest, and all other agency matters as requested. See also **LEGAL OPINIONS** item 9, page 33.	a) Retain records with historical value permanently. b) Destroy in office remaining records when administrative value ends or expiration of relevant statute of limitations; whichever is longer.	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
11.	**LITIGATION CASE RECORDS** Civil suits to which the county 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.	a) Retain cases having precedent or historical value permanently. b) Destroy in office adjudicated cases 5 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations; whichever is longer. *Retention Note: Records are retained by the Clerk of Superior Court's office in each county.*	Comply with applicable provisions of G.S. §132-1.1(a) regarding the confidentiality of written communications by legal council.
12.	**OATHS OF OFFICE FILE**	a) Transfer official copy to the Clerk to the Board. b) Destroy in office 3 years after official termination. *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.*	
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 county relinquishes ownership of land.*	

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ITEM #	STANDARD-4: LEGAL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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.	

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STANDARD-5. PERSONNEL RECORDS
Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of public transportation system and authority employees. Comply with applicable provisions of G.S. §162A-6.1 regarding confidentiality of personnel records.

ITEM #	***STANDARD-5: PERSONNEL RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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 after 5 years all reports, analyses, and statistical data. 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 16, page 39.	a) Destroy 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 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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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
7.	**CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS**	a) Destroy in office administrative records 3 years after all audits. b) Destroy yearly enrollment records after 1 year. c) Destroy claim records and receipts 3 years after 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 on appeal, an adverse action against an employee.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	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.	**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.	a) Destroy in office after 5 years 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. b) Destroy in office after 3 years records obtained from previous employers concerning drug and alcohol test results. c) Destroy in office after 2 years 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. d) Destroy in office after 1 year records of negative and cancelled drug or alcohol test results, including alcohol test results with a concentration of less than 0.02. *Retention Note: Records should be maintained in a location with controlled access.*	49 CFR 382.401 49 CFR 40.333 49 CFR 655.71
13.	**DUAL EMPLOYMENT FILE** Records concerning employees' requests and authorizations to accept secondary employment.	a) Destroy approved requests and related records 1 year after employee terminates outside employment. b) Destroy unapproved requests and related records after 6 months.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
14.	**EDUCATIONAL LEAVE AND REIMBURSEMENT FILE**	a) Destroy in office records concerning approved requests when released from all audits.* b) Destroy in office records concerning disapproved requests 6 months after disapproval.	
15.	**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.	a) Transfer application, resumes, transcripts and similar records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45. b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created, received, or the personnel action involved, whichever is longer. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy unsolicited applications/resumes, and those received after posted closing dates in office 2 years after receipt.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49
16.	**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. See also **APTITUDE AND SKILLS TESTING RECORDS** item 6, page 36.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	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***
17.	**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 15, page 39.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
18.	**EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES** Includes records listing employees, their job titles, work locations, phone numbers, e-mail address, and similar information.	Destroy in office when superseded or obsolete.	
19.	**EMPLOYEE BENEFITS REGISTER**	Destroy in office after 2 years.	
20.	**EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS** Includes records requesting tuition assistance, repayments, and other related records.	Destroy in office 3 years after completion, denial, repayment, and removal from program.*	
21.	**EMPLOYEE ELIGIBILITY RECORDS** Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification forms (I-9) forms.	a) Destroy certificates, I-9 forms, and statements in office 3 years after individual was hired or 1 year from date of separation. b) Destroy registers in office after 2 years.	8 USC 1324(b)
22.	**EMPLOYEE EXIT INTERVIEW RECORDS**	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45. b) Destroy all remaining records in office after 1 year.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
23.	**EMPLOYEE HEALTH CERTIFICATES** Includes health or physical examination reports or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	Destroy in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	29 CFR 1602.31
24.	**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 exposure records 40 years from date of exposure or 30 years from date of separation.* b) Destroy records pertaining to job-related illness and injury in office after 5 years. c) Destroy results of medical examinations required in connection with personnel actions and similar records in office after 1 year. *Retention Note: Records must be maintained separately from an employee's personnel jacket.*	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910
25.	**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
26.	**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.	

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ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
27.	**EMPLOYEE PERFORMANCE REVIEW FILE**	a) Destroy in office after 3 years supervisor approved and signed work plans. b) Destroy in office remaining records when administrative value ends.	
28.	**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 the 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
29.	**EMPLOYEE SECURITY RECORDS** Records concerning the issuance of keys, identification cards, pass, parking permits, etc., to employees.	Destroy in office when administrative value ends.	
30.	**EMPLOYEE SUGGESTIONS**	Destroy in office when administrative value ends.	
31.	**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.	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. b) Destroy in office non-employee-specific records 1 year from date record was created. c) Destroy remaining records when administrative value ends	29 CFR 1627.3
32.	**EMPLOYEE WORKS SCHEDULES AND ASSIGNMENT RECORDS** Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	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***
33.	**EMPLOYMENT LISTINGS, ADVERTISEMENTS AND ANNOUNCEMENTS**	Destroy in office after 2 years.	29 CFR 1602
34.	**EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS** Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45 b) Destroy all remaining records in office 2 years after resolution of case.*	29 CFR 1602.31
35.	**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 complied documentation used to complete EEO reports.	Destroy in office after 3 years.	29 CFR 1602
36.	**EQUAL PAY RECORDS** Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
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.	

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

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
39.	**GRIEVANCE FILE** Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence. See also **DISCIPLINARY FILE** item 11, page 37.	a) Transfer records as applicable to **PERSONNEL RECORDS (OFFICIAL COPY)** item 48, page 45. b) Destroy all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
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 leave ends.* b) Destroy in office records concerning non-military service leave 5 years after leave ends.*	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.	
46.	**MERIT AND SENIORITY SYSTEM RECORDS**	a) Destroy employee-specific records in office after 3 years. b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3

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

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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 all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
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 24, page 41.	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 remaining records when administrative value ends.	
50.	**POLICIES AND PROCEDURES (PERSONNEL)**	c) Retain official copy of internal agency personnel policies permanently. d) Destroy reference copies and external policy procedures when superseded or obsolete.	
51.	**POSITION CLASSIFICATION– POSITION HISTORY FILE**	Retain in office permanently.	
52.	**POSITION CONTROL CARDS**	Destroy in office when reference value ends.	

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

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
53.	**POSITION DESCRIPTION RECORDS** Includes information on job title, grade, duties, agency assigned, duties and responsibilities.	Destroy in office 2 years from the date the record was made.	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 all remaining records in office 2 years from date record was created, received, or the personnel action involved, whichever is longer.	
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.	Destroy in office 1 year from date of separation.	
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.*	

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

ITEM #	STANDARD-5: PERSONNEL RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
60.	**UNEMPLOYMENT INSURANCE FILE**	a) Transfer original records to the 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.	
63.	**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 *Hyler v. GTE Prods. Co.*, 333 N. C. 258 S.E.2d 698 (1993).)	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 county 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.* b) If official action has been initiated, transfer to **LITIGATION CASE RECORDS** item 11, page 34.	Comply with applicable provisions of G.S. § 8-53 regarding the confidentiality of physician-patient records.

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

STANDARD-6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES
Records received and created by public transportation systems and authorities necessary to meet all statutory requirements.

Comply with requirements of the Federal Transit Administration's Best Practice Procurement Manual, Master Agreement MA(11) Section 8 manual, and 49 CFR 18 regarding retention, access, security, and confidentially of records where applicable.

ITEM #	**STANDARD—6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES**		
	RECORD SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
1.	**ACCREDITATION RECORDS** Records concerning compliance with those standards outlined by accreditation programs.	Destroy in office 1 year after superseded.*	
2.	**AGENCY LOGS (SHEETS)** Records concerning individual agency ridership.	Destroy in office after 5 years.*	49 CFR 18.42
3.	**APPLICATIONS FOR AWARDS** Applications and supporting documentation used to apply for various public and private awards.	Destroy in office when administrative value ends.	
4.	**APPLICATIONS FOR DISCOUNT PASSES** Applications, certificates of disability, and supporting documentation used to apply for discount passes.	Destroy in office 3 years after service is terminated or denied.	Refer to U.S. Privacy Act 5 U.S.C. 552a for information on confidentiality of patient medical information.
5.	**APPLICATIONS FOR TRANSIT SERVICE** Customer applications, eligibility assessment records, correspondence, health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
6.	**APPLICATIONS FOR ART-IN-TRANSIT** Applications and supporting documentation submitted by regional and nationals artists for exhibit on agency property.	Destroy in office when administrative value ends.	

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

ITEM #	STANDARD—6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES		
	RECORD SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
7.	**CALL IN LOGS (SHEETS)** Record concerning on-demand service requests.	Destroy in office after 5 years.*	49 CFR 18.42
8.	**CUSTOMER (RIDER) ALERTS** Records alerting customers of changes in regular service (i.e. detours, festivals, parades, etc.).	Destroy in office when administrative value ends.	
9.	**CUSTOMER (RIDER) IDENTIFICATION RECORDS** Records concerning customer identification, approvals, denials, and related information.	Destroy in office when administrative value ends.	
10.	**DEPARTURE RECORDS** Includes logs, sheets, reports and similar records documenting vehicle arrivals and departures.	Destroy in office after 1 year.	
11.	**DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS** Files contain company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence.	a) Destroy in office 5 years after company is removed from certified list. b) Destroy in office remaining DBE program records, including Federal Transit Administration reports, 5 years from date record was created.	49 CFR 26
12.	**DISPATCH RECORDS** Reports, logs, and similar records used to document dispatch activities.	Destroy in office after 5 years.	49 CFR 18.42
13.	**LOST AND FOUND RECORDS** Logs, sheets, and similar records documenting items recovered from agency facilities and vehicles. May include customer receipts for claimed items.	Destroy in office when administrative value ends.	

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

ITEM #	STANDARD—6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES		
	RECORD SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
14.	**MARKETING AND PROMOTIONAL RECORDS** Reference copies relating to agency promotion.	a) Retain records with historical value permanently. b) Destroy in office project records 5 years after project is complete. c) Destroy in office remaining records when reference value ends.	49 CFR 18.42
15.	**NATIONAL TRANSIT DATABASE (NTD) REPORT** Annual report submitted to the Federal Transit Administration and used as the basis for calculating each system's funding. May include records (data) used to generate reports regardless of format.	Destroy in office after 5 years.*	49 CFR 18.42
16.	**OPERATOR BID RECORDS** Cards, sheets and similar records documenting operators' route selections and choice for a service period.	Destroy in office when administrative value ends.	
17.	**OPERATOR ACCIDENT/INCIDENT REPORTS**	See **ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)** item 1, page 57.	
18.	**OPERATOR OBSERVATION RECORDS** Records concerning monitoring operators' work performance.	See **EMPLOYEE PERFORMANCE REVIEW FILE** item 27, page 42.	
19.	**OPERATOR SHIFT INSPECTION RECORDS** Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.	Destroy in office after 5 years.	49 CFR 18.42
20.	**OPERATOR SCHEDULING AND ASSIGNMENT RECORDS** Logs, sheets, schedules, reports, and similar records used to track work assignments and activities of individual operators to routes and shifts.	Destroy in office when administrative value ends. See also **TIME SHEETS, CARDS, AND ATTENDANCE RECORDS** item 51, page 49.	

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

ITEM #	STANDARD—6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES		
	RECORD SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
21.	**PARATRANSIT MANIFESTS** Driver's daily assignments of passenger pick-ups and drop-offs.	Destroy in office after 5 year.	49 CFR 18.42
22.	**RADIO DISPATCH RECORDINGS AND LOGS** Recordings and logs of dispatch messages to and from transit operators.	Destroy in office after 90 days.*	
23.	**RIDERSHIP REPORTS**	Destroy in office after 5 years.	49 CFR 18.42
24.	**ROUTE HISTORY RECORDS** Includes descriptions of routes, bus stops, passenger lists and other related records.	Destroy in office when administrative value ends.	
25.	**ROUTE MAINTENANCE RECORDS** Logs, sheets, and related records used to record needed road improvements.	Destroy in office when administrative value ends.	
26.	**ROUTE REQUESTS** Requests from customers for additional or revised routes.	Destroy in office 3 years after resolution.	
27.	**SEAT BELT AND RESTRAINT SYSTEM RECORDS** Records concerning the use and installation of seat belts and other restraint systems in vehicles.	Destroy in office when administrative value ends.	
28.	**SERVICE CHANGE RECORDS** Records concerning changes in routes and transportation services offered by the agency.	a) Retain records with historical value permanently. b) Destroy in office 3 years after records were created or project ends, whichever occurs last.	
29.	**SERVICE PERFORMANCE RECORDS** Records concerning quality control performance checks conducted on agency staff, contractors, and vendors.	a) Retain records with historical value permanently. b) Destroy in office 3 years after records were created or project ends, whichever occurs last.	

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

ITEM #	STANDARD—6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES		
	RECORD SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
30.	**SERVICE PLANNING AND DEVELOPMENT RECORDS**	a) Retain records with historical value permanently. b) Destroy in office 3 years after records were created or project ends, whichever occurs last.	
31.	**SHELTER RECORDS** Includes adopt-a-shelter program records, listings of shelter sites, site permission for right of way, easements and related documentation. See Also **GRANTS** Item 27, page 5.	Destroy in office when administrative value ends.	
32.	**SHUTTLE LOGS (SHEETS)** Records concerning regularly schedule individual ridership.	Destroy in office after 5 years.*	49 CFR 18.42
33.	**TICKET CONSIGNMENT RECORDS** Logs, notebooks, and related records used to track tickets and passes provided customers.	Destroy in office when administrative value ends.	
34.	**TERMINAL DISPATCH RECORDS** Reports, logs, and similar records used to track daily terminal operations and activities.	Destroy in office after 1year.	
35.	**TRIP REQUESTS** Passenger trip requests.	Destroy in office after 5 years.	49 CFR 18.42
36.	**TRANSIT (BUS) SCHEDULES** Printed route schedules and related information used to generate schedules.	Destroy in office when administrative value ends.	
37.	**TRANSPORTATION SYSTEM OPERATIONS REPORTS** Reports and supporting records summarizing transit system operations.	Destroy in office after 5 years.	49 CFR 18.42

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

ITEM #	STANDARD—6. PUBLIC TRANSPORTATION SYSTEMS AND AUTHORITIES		
	RECORD SERIES TITLE	**DISPOSITION INSTRUCTIONS**	**CITATION**
38.	**TRANSPORTATION SYSTEM SERVICE PERFORMANCE EVALUATIONS**	Destroy in office after 1 year.	
39.	**TRANSPORTATION SYSTEM STATISTICAL RECORDS** Reports and supporting records showing passenger trips, mileage, service hours, on-time performance, missed and/or late trips, road call, rider-ship, and similar statistical information.	a) Retain records with historical value permanently. b) Destroy in office 5 years after records were created or project ends, whichever is longer.	49 CFR 18.42
40.	**VANPOOL DRIVER APPLICATIONS** Applications and supporting records submitted by persons operating vanpool vehicles.	Destroy in office 3 years after person leaves the program.	
41.	**VANPOOL MONTHLY USAGE REPORTS** Includes logs, sheets, reports and similar records documenting starting and ending mileage, total miles driven, route locations, passenger rosters, and similar information.	Destroy in office after 5 years.	49 CFR 18.42
42.	**VEHICLE BREAKDOWN RECORDS** Reports and similar records documenting response time, location, vehicle identification and similar information. See also **WORK ORDERS (VEHICLE REPAIR)** item 63, page 12.	Destroy in office after 1 year.	
43.	**VEHICLE OPERATOR INSTRUCTIONS**	Destroy in office when administrative value ends.	
44.	**VEHICLE USAGE LOGS (SHEETS)** Includes date vehicle was used, pick-up and delivery locations, starting and ending mileage, total miles driven and signature of driver.	Destroy in office after 1 year.*	

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

STANDARD-7. PUBLIC RELATIONS RECORDS
Official records and materials created and accumulated by internal public information programs operated by public transportation systems and authorities.

ITEM #	***STANDARD-7: PUBLIC RELATIONS RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
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 record with historical value permanently. b) Destroy remaining copies in office when administrative value ends.	
3.	**AUDIO TAPES (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.	

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

ITEM #	STANDARD-7: PUBLIC RELATIONS RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
6.	**HOMEPAGE (ELECTRONIC) FILE** Electronic records concerning the administration and maintenance of the agency'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.	
7.	**NEWS CLIPPINGS**	a) Retain records with historical value permanently. b) Destroy in office remaining items when reference value ends.	
8.	**NEWS AND PRESS RELEASES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
9.	**PHOTOGRAPHS**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
10.	**PUBLIC RELATIONS FILE** Records concerning overall public relations of county administrative offices. May include procedures, correspondence, and other related records.	Destroy in office after 5 years.	
11.	**SLIDES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
12.	**SPEECHES**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	

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

ITEM #	***STANDARD-7: PUBLIC RELATIONS RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
13.	**VIDEO TAPES (PUBLIC RELATIONS)**	a) Retain records with historical value permanently. b) Destroy in office remaining items when administrative value ends.	
14.	**VISUAL AIDS**	Destroy in office when administrative value ends.	

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

STANDARD-8. RISK MANAGEMENT RECORDS
Official records and materials created and accumulated by risk management programs operated by public transportation systems and authorities.

ITEM #	***STANDARD-8: RISK MANAGEMENT RECORDS***		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
1.	**ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)** See also **WORKERS' COMPENSATION PROGRAM CLAIMS FILE,** item 63, page 47. See also **LITIGATION CASE FILE,** item 11, page 34, if report results in legal action.	a) Transfer records resulting in workers' compensation to **WORKERS' COMPENSATION PROGRAM CLAIMS FILE** item 63, page 47. 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.	
2.	**ASBESTOS MANAGEMENT PLAN**	Destroy in office 1 year after building is destroyed or ownership is transferred.	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.*	

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

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 exposure records 40 years from date of exposure or 30 years from date of separation, whichever occurs later.*	29 CFR 1910.
7.	**FIRE AND SAFETY FILE**	Destroy in office when superseded or obsolete.	
8.	**FUEL OIL STORAGE TANK RECORDS**	a) Destroy in office closure records 3 years after completion of permanent closure in accordance with G.S. §280.32 and 280.72. b) Destroy in office performance claims and tank tightness tests completed every 5th year after 5 years. c) Destroy in office maintenance reports, repair and upgrade reports, product inventory measuring charts, tank tightness tests completed on a yearly schedule, and all other tests and related records after 1 year.	G.S. §280.32 and 280.72.
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.	

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

ITEM #	STANDARD-8: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
11.	**HOLD HARMLESS AGREEMENTS**	Destroy in office 6 years from date of termination or settlement of all claims.	
12.	**INSURANCE AUDITS, SURVEYS AND REPORTS**	Destroy in office when administrative value ends.	
13.	**INSURANCE AND LIABILITY WAIVERS**	Destroy in office 6 years from date of termination or settlement of all claims.*	
14.	**LOSS CONTROL INSPECTION REPORTS** Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office after 1 year.	
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 manufactures instructions. *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.*	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.	

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

ITEM #	STANDARD-8: RISK MANAGEMENT RECORDS		
	RECORD SERIES TITLE	***DISPOSITION INSTRUCTIONS***	***CITATION***
19.	**SELF-INSURER CERTIFICATION FILE**	Destroy in office 6 years from date of termination or settlement of all claims.	
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.*

STATE ARCHIVES of NORTH CAROLINA

GOVERNMENT RECORDS SECTION
STATE RECORDS CENTER

www.ncdcr.gov/archives 4615 Mail Service Drive, Raleigh, NC 27699 919-807-7350

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** _____

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