

GENERAL SCHEDULE FOR STATE AGENCY RECORDS



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

May 1, 2015

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GENERAL SCHEDULE FOR STATE AGENCY RECORDS

RECORDS RETENTION AND DISPOSITION SCHEDULE

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records of the agencies of government of the State of North Carolina listed on this

General Schedule for State Agency Records

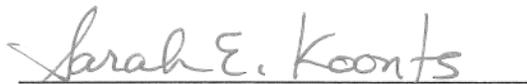
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

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

Long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices published by the Department of Cultural Resources regarding the creation and management of electronic records. Public records including electronic records not listed in this schedule or in an applicable Program Records Retention and Disposition Schedule are not authorized to be destroyed.

This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

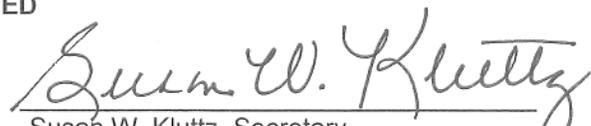


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STATE AGENCY RECORDS RETENTION SCHEDULES

What is “The General Schedule for State Agency Records”?

- A.** The General Schedule for State Agency Records is a tool for employees of State agencies to use when managing the records in their offices. It lists records commonly found in government offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between the Department of Administration and the Department of Cultural Resources. Records specific to your office’s unique functions are managed by Program Records Retention and Disposition Schedules.

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

How is the General Schedule approved and/or amended?

- A.** This schedule is approved through the signatures of the Secretary of Cultural Resources and the Secretary of Administration. The official published version of the General Schedule is available through the State Archives of North Carolina’s website, currently located at the following address (please note that this address is subject to change over time): <http://www.ncdcr.gov/archives/ForGovernment.aspx>

All changes and amendments to this General Schedule will also be published on the website for the State Archives of North Carolina.

Am I required to have all of the records listed on the General Schedule?

- A.** No. This is not a list of records you must have in your office.

Do the sections in the General Schedule correspond to the organizational structure of my office?

- A.** Items are grouped together by their function in what we refer to as “standards” in order to make it easier for users to find records series. You may find that the records groupings reflect your organizational structure, or you may find that records are located in various standards depending on the content of the record. The intent of this schedule’s organization is to provide an easy reference guide for the records commonly created in State agencies. For ease of use, this document is both indexed and text-searchable.

I can’t find some of my records on the General Schedule.

- A.** Sometimes records are listed in a different standard than how you organize them in your office. Be sure to check the Index and utilize the “search box” function on the PDF version of the schedule.

If you still cannot locate your records on the schedule, they may be located on your office’s Program Records Retention and Disposition Schedule. To access your office’s Program Records Schedule, contact your Records Management Analyst or visit <http://stateschedules.ncdcr.gov>.

If your records cannot be found on the General Schedule or your office’s Program Records Schedule, then contact your agency’s Chief Records Officer or the Records Management Analyst assigned to your agency. We will work with you to amend the Program Records Schedule so that you may retain these records appropriately.

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What are Program Records Retention and Disposition Schedules?

- A.** Program Records Retention and Disposition Schedules are tools for employees of State agencies to use when managing the agency-specific records in their offices. They list records unique to offices, divisions, sections, and other subdivisions within State agencies. Program Records Schedules give an assessment of these records' value by indicating whether those records should be destroyed, retained in office permanently, or transferred to the Archives.

Your office's Program Records Retention and Disposition 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 to previous schedules.

What if I find similar records on the General Schedule and my office's Program Records Schedule?

- A.** The Program Records Retention and Disposition Schedule was created specifically for your office. If there is a conflict between the two, you should follow your Program Records Schedule. Please contact your Chief Records Officer or the records management analyst assigned to your agency for further guidance.

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RECORDS MANAGEMENT

What are public records?

- A.** G.S. § 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.

Why is the Department of Cultural Resources in charge of public records management?

- A.** The Department of Cultural Resources is given the authority and responsibility for records management in the State of North Carolina through G.S. § 121. G.S. § 121 and G.S. § 132 further state that no public record may be destroyed in the State of North Carolina without permission from the Department of Cultural Resources. Signed, approved records retention and disposition schedules serve as permission for State and local governments to destroy their public records according to the disposition instructions listed in the retention schedules.

How long am I required to keep my records?

- A.** Each record series listed on the General Schedule for State Agency Records has specific disposition instructions that indicate how long that series must be kept in your office. These will vary based on the value of these records to your office and the State of North Carolina. State agencies can, however, keep their records beyond the retention periods listed in this schedule.

State agencies must establish and enforce internal policies setting minimum retention periods for records with the disposition instruction, "destroy when reference value ends." Without the establishment of these policies, the office is not authorized by the Department of Cultural Resources to destroy these records.

What is a Chief Records Officer?

- A.** Agency Chief Records Officers are State agency officials, appointed by and representing the agency head, who are responsible for coordinating records management within their department with the State Archives of North Carolina.

The Chief Records Officer coordinates all agency requests for records assistance, records or technical training, and other offered consultative services with the State Archives of North Carolina. The Chief Records Officer also acts as agency coordinator for all records activities, programs, and reports required by the Department of Cultural Resources in administering the State records management program.

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How can I find out the name and contact information of my agency's Chief Records Officer and Records Management Analyst?

- A.** A list of Chief Records Officers and analysts for each State agency and university is available on the State Archives of North Carolina website. You may find the Chief Records Officers here:
<http://www.ncdcr.gov/archives/ForGovernment/ServicesandTraining/ChiefRecordsOfficers.aspx>
You may find the Records Management Analyst assigned to your agency here:
<http://www.ncdcr.gov/archives/ForGovernment/ServicesandTraining.aspx#analyst>

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

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

If you do not need to access these records often, you may want to consider updating your office's Program Records Schedule to allow them to be transferred to the State Records Center.

I have found some really old records (scrapbooks, old agency histories, hand-written registers, etc.). What should I do with them?

- A.** Contact the Records Management Analyst assigned to your agency and your Chief Records Officer. We will help you examine the records and assess their historical value.

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TRANSITORY RECORDS

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

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

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

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

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

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

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

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

- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports

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

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Transitory Records

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

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

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

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

See also the State Archives of North Carolina's guidance on digital signatures found at the following link: http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic_signature_policy.pdf

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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.

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

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

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

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

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General Schedule for State Agency Records

This Schedule applies to records in all media, unless otherwise specified.

-  – symbol designating that one or more records in this series may be confidential or may include confidential information.
- Series #** – a unique identifying number assigned to each record series for ease of reference.
- Series** – “a group of similar records that are [...] related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Series in this schedule are based on common functions in government offices.
- Series Title** – a short identification of the records in a series, based on their common function.
- Series Description** – a longer description of the records in a series, often including the types of records that can be frequently found in that series.
- Disposition Instructions** – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time.
- Citation** – a listing of references to statutes, laws, and codes related to the records series. Citations can include Authorities (governing the creation of records), Confidentiality (limiting access to public records), and Retention (setting a retention period).

No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable. See also [Audits, Litigation, and Other Official Actions](#), page viii.

Refer to front matter and appendices for additional instructions or contact your agency’s Chief Records Officer for clarification.

1. E-MAIL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G1	E-Mail Messages File	<p>Electronic mail (e-mail) messages sent or received pursuant to law or ordinance in connection with the transaction of public business by any executive branch agency.</p> <p><i>See also applicable State agency Program Records Retention and Disposition Schedules.</i></p>	<p>E-mails related to the transaction of State business will be retained for 5 years unless an applicable State agency Program Records Retention and Disposition Schedule prescribes a longer retention period, such as permanent retention. Evaluate the content of the e-mail to determine whether a longer retention period is required. Council of State, Legislative Branch, and Judicial Branch agencies, which are not subject to Executive Orders No. 12 (McCrory) and No. 18 (Perdue), are encouraged to follow this General Schedule item for retention of e-mail messages. In addition, these agencies and branches should consult their Program Records Retention and Disposition Schedules for how to manage e-mail messages.</p>	<p>Retention: Executive Order 12 (Gov. Pat McCrory)</p>

*No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable. See also [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page viii.

2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G2	Accident/Incident Reports File	Records concerning accidents involving agency employees, agency equipment, or other agency property. File includes employee and citizen accident and incident reports.	<ul style="list-style-type: none"> a) Transfer records resulting in workers' compensation claims to Workers' Compensation Litigation and Claims File (Item G205). b) Destroy in office remaining employee claims after 3 years.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years. e) Destroy in office reports of minors after minor has reached age of 21. 	
G3	Administrative Rule File	Records concerning administrative rule-making proceedings. File includes all written comments received, a transcript or recording of any public hearing held on the rule, any fiscal note that has been prepared for the rule, and any written explanation made by the agency for adopting the rule.	Retain in office permanently.	Authority: G.S. § 150B-21.2(i) Retention: G.S. § 150B-21.2(i)
G4	Affidavits of Publication File	Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.	<ul style="list-style-type: none"> a) Retain in office permanently if record provides only evidence of publication. b) Destroy in office remaining records after 3 years.* 	Authority: G.S. § 1-600
G5	Associations and Organizations File	Records concerning local, state, or national associations, organizations, and committees with which the agency or staff is involved.	Destroy in office after 2 years.	
G6	Attorney General Opinions and Rulings File	Reference copies of legal opinions and rulings and related records prepared by the Department of Justice.	Destroy in office when reference value ends.	
G7	Calendars of Events File	Records concerning agency events.	Destroy in office when superseded or obsolete.	

*No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable. See also [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page viii.

2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G8	Civil Rights File	Records concerning agency participation in federal and State affirmative action/equal opportunity programs, including Title VII of the 1964 Civil Rights Act, the Equal Pay Act, the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), and the Genetic Information Nondiscrimination Act (GINA). File includes reports and plans required by federal statute, including facility accessibility records under the ADA. <i>See also Civil Rights Case File (Item G150).</i>	a) Destroy in office all reports, analyses, and statistical data after 5 years. b) Destroy in office affirmative action plans 5 years from date superseded.	Authority: 29 CFR 1602.7 29 CFR 1602.30 29 CFR 1608.4
G9	Complaints File	Complaints made by and received from citizens and employees. <i>See also Discrimination Complaints File (Item G12).</i>	Destroy in office 1 year after settlement of complaint.*	
G10	Conferences and Workshops File	Records concerning conferences and workshops conducted by or attended by agency employees. File includes participant lists, handouts, and other related records. <i>See also Asbestos Training File (Item G146), Bloodborne Pathogen Training File (Item G148), Hazardous Materials Training File (Item G170), and Training File (Item G197).</i>	Destroy in office after 1 year.	
G11	Customer Call Center Recordings File	Records concerning calls to agency customer service centers, made for quality assurance and training purposes.	Destroy in office after 30 days.	
G12	Discrimination Complaints File	Records concerning formal discrimination complaints and allegations filed against the agency. <i>See also Complaints File (Item G9).</i>	Destroy in office 2 years after settlement of complaint.*	
G13	 Emergency Management File	Records concerning evacuations, preparations for disasters, and operations in the event of disasters. Includes Continuation of Operations Plans (COOP) and Business Continuity Plans (BCP). <i>See also Disaster Preparedness and Recovery Planning File (Item G125).</i>	Destroy in office when superseded or obsolete. <i>Retention Note: Submit copy of disaster recovery plan annually to the State Chief Information Officer in compliance with G.S. § 147-33.89(b).</i>	Authority: G.S. § 147-33.89(b) Confidentiality: G.S. § 132-1.7(b)

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2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G14 	Emergency Notification File	Records concerning the process of notifying personnel in the event of an emergency.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7(b)
G15	Equipment Maintenance File	Records concerning maintenance services conducted on equipment.	Destroy in office 2 years after completion of service.	
G16	Facility Maintenance, Housekeeping, and Repairs File	Records concerning maintenance, housekeeping, and repair services conducted for agency buildings and facilities. <i>See also Inspections File (Item G20).</i>	<ul style="list-style-type: none"> a) Destroy in office after 1 year records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities. b) Destroy in office after 3 years records concerning all other facility maintenance and repair (including plumbing, electrical, fire, and other systems).* 	
G17	Fire, Health, and Safety File	Records concerning office safety measures.	Destroy in office when superseded or obsolete.	
G18	Forms and Templates File	Blank forms, templates, and letterhead used to create agency records.	Destroy in office when superseded or obsolete.	
G19	Indices File	Listings of where specific information can be found.	Destroy in office when superseded or obsolete.	
G20	Inspections File	Reports detailing health and safety inspections of agency facilities, including plumbing, electrical, fire, and other systems.	Destroy in office after 3 years.*	
G21	Insurance Policies File	Records concerning insurance policies held by the agency.	Destroy in office 6 years after termination or expiration of policy.*	
G22	Invitations File	Invitations sent and received concerning agency and external functions.	Destroy in office after 1 year.	
G23	Itineraries File	Records concerning scheduled plans of agency personnel.	Destroy in office after 1 year.	
G24 	Legal Correspondence and Memoranda File	Office correspondence and memoranda concerning legal matters not related to specific legal cases or official opinions.	Destroy in office after 5 years.	Confidentiality: G.S. § 132-1.1(a)

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2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G25	Legislative File	Reference copies of records concerning legislative matters affecting the agency. File includes legislative bills, General Statutes, and other related records.	Destroy in office when reference value ends.	
G26	Loss Control Inspections File	Records concerning self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property.	Destroy in office after 1 year.	
G27	Mail Services File	Records concerning the agency's use of mail services.	Destroy in office after 2 years.*	
G28	Mailing Lists and Media Contacts File	Mailing lists of individuals, organizations, and agencies receiving press releases and other public information.	Destroy in office when superseded or obsolete.	
G29	Material Safety Data Sheets File	Forms supplied to agencies from manufacturers and distributors of hazardous materials.	Destroy in office 30 years after materials have been disposed of according to manufacturer's instructions. <i>Retention Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where they were used, and when they were used is retained the required 30 year period.</i>	Retention: 29 CFR 1910.1020 (d)(1)(ii) (B)
G30	Media File	Reference copies of newspaper, magazine, and other media clippings concerning the agency, agency officials, and other topics of interest.	Destroy in office when reference value ends.	
G31	Occupational Safety and Health Administration (OSHA) File	Records concerning Occupational Safety and Health Administration (OSHA) policies and programs. File includes OSHA forms; ergonomic assessments for employees; and records concerning injury or illness, extent and outcomes, and summary totals for calendar year.	Destroy in office after 5 years.	Retention: 29 CFR 1904.33 29 CFR 1904.44
G32	Parking Assignments File	Records concerning staff parking assignments.	Destroy in office when superseded or obsolete.	

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2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G33	Performance Audit Reports File	Reference copies of audit reports and other records assessing the function of agency programs. <i>See also Financial Audit Reports File (Item G84).</i>	Destroy in office after 3 years.	
G34	Presentations File	Slides, charts, transparencies, handouts, and other related records used in presentations.	Destroy in office after 1 year.	
G35	Public Hearings File	Records concerning the administration of public hearings conducted by the agency. File includes agendas, minutes, notices, speaker sign-up sheets, and other related records.	a) Retain in office minutes permanently. b) Destroy in office remaining records after 1 year.	
G36	Public Records Requests File	Formal requests submitted by persons seeking access to agency records.	Destroy in office 2 years after resolution.*	
G37	Publications File	Publications produced by the agency.	a) Transfer 10 or more copies (as required) of each publication to the State Government Publications Clearinghouse, State Library of North Carolina. b) For electronic publications only, transfer 1 copy to the State Government Publications Clearinghouse, State Library of North Carolina. c) Destroy in office remaining copies when reference value ends.	Retention: G.S. § 125-11.8(b)
G38	Publications Received File	External publications and catalogs received by the agency.	Destroy in office when reference value ends.	
G39	Publicity File	Records concerning publicity by and about the agency. File includes announcements, press releases, advertisements, and other related records.	Destroy in office after 5 years.	
G40	Received Directives, Reports, Policies, and Procedures File	Directives, reports, policies, procedures, and bulletins received from outside the agency or other offices within the agency. File includes reference copies of agency bulletins, policies, and procedures.	Destroy in office when superseded or obsolete.	

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2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G41	Records Management File	Records concerning the management of the office's records.	<ul style="list-style-type: none"> a) Retain in office transfer forms and destruction logs permanently. b) Destroy in office General Schedule for State Agency Records and Program Records Retention and Disposition Schedules when superseded. c) Destroy in office remaining records after 1 year. 	
G42	Reference File	Records concerning subjects of interest to the agency.	Destroy in office when reference value ends.	
G43	Reports and Studies File	Records concerning the performance of an agency, department, program, or project, or the planning of future programs or projects.	<ul style="list-style-type: none"> a) Retain in office 1 copy of biennial and annual reports permanently. b) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years. c) Destroy in office daily activity reports, workload measurements, and other reports prepared on a daily or periodic basis after 1 year. 	
G44	Requests for Information File	Requests received and responses issued by the agency. <i>See also Public Records Requests File (Item G36).</i>	Destroy in office after 1 year.	
G45 	Security and Video Surveillance File	Records concerning the security of the office, its equipment, and office personnel. File includes visitor logs, registers, and office security and mobile video recordings. <i>See also Computer Security File (Item G120).</i>	<ul style="list-style-type: none"> a) If the recording becomes evidence in an investigation, see applicable State agency Program Records Retention and Disposition Schedule for appropriate disposition instructions. b) Destroy in office video recordings not involved in an investigation after 30 days.* c) Destroy in office remaining records after 1 year. 	Confidentiality: G.S. § 132-1.7(b)

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2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G46	Social Media File	<p>Records created and/or maintained in paper and/or electronic formats concerning the creation and maintenance of the agency's presence on third-party social media websites. File includes correspondence, including comments from citizens, end-user agreements, procedures, instructions, website designs, HTML/XHTML, or other web based file formats, and other related records.</p> <p><i>Copies of State agency websites, including social media websites, will be cataloged by the Department of Cultural Resources, Division of Archives and Records, Digital Services Section, which will make information about the websites available.</i></p>	<ul style="list-style-type: none"> a) The Archives will periodically retrieve State agency websites, including social media websites, from the Internet and transfer them to the custody of the Archives for permanent retention. b) Agencies that opt out of participation in the automatic retrieval of social media by contacting the Archives, or whose social media cannot be captured for technical reasons, shall create snapshots annually or whenever a major revision has taken place, whichever occurs first, and transfer them to the custody of the Archives for permanent retention. c) Destroy in office remaining records when reference value ends. 	
G47	Staff Meetings File	Records concerning staff meetings. File does not include official, approved minutes of public bodies subject to the Open Meetings Law.	Destroy in office after 1 year.	
G48	Supplies and Equipment File	Records concerning supplies and equipment. File includes inventories, operating manuals, warranties, accounting records, and other related records.	<ul style="list-style-type: none"> a) Destroy in office inventories when superseded. b) Dispose of warranties and operating manuals in accordance with instructions of State Surplus Property Agency upon final disposition of equipment. c) Destroy in office accounting records after disposition of equipment and when released from all audits, whichever occurs later. d) Destroy in office remaining records when superseded or obsolete. 	
G49	Surplus Property File	Inventories and other related records concerning surplus property and its disposition.	Destroy in office 3 years after disposition of property.*	
G50	Surveys File	Citizen and customer service surveys and related records addressing agency services, policies, and other concerns.	Destroy in office after 1 year.	

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2. ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G51	Vehicle Titles File	Titles of State-owned vehicles under the jurisdiction of the agency.	Dispose of in accordance with instructions by State Surplus Property Agency upon disposition of vehicle.	
G52	Vehicles File	Records concerning office's use of State-owned vehicles. File includes vehicle mileage logs, vehicle request forms, and other related records.	Destroy in office after 3 years.*	
G53	Website File	Records created and/or maintained in paper and/or electronic formats concerning the creation and maintenance of the agency's presence on the World Wide Web (WWW). File includes correspondence, procedures, instructions, website designs, HTML/XHTML, or other web based file formats, and other related records. <i>Copies of State agency websites will be cataloged by the Department of Cultural Resources, Division of Archives and Records, Digital Services Section, which will make information about the websites available.</i>	<ul style="list-style-type: none"> a) The Archives will periodically retrieve State agency websites from the Internet and transfer them to the custody of the Archives for permanent retention. b) Agencies that opt out of participation in the automatic retrieval of websites by contacting the Archives, or whose website cannot be captured for technical reasons, shall create website snapshots annually or whenever a major revision has taken place, whichever occurs first, and transfer them to the custody of the Archives for permanent retention. c) Destroy in office remaining records when reference value ends. 	
G54	Work Orders File	Work orders submitted for the maintenance and repair of equipment and facilities.	Destroy in office 1 year after completion of work.	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G55	Accounts Payable File	Records concerning the status of accounts in which the agency owes money to firms or individuals.	Destroy in office 3 years after payment.*	
G56	Accounts Receivable File	Records concerning receivables owed to and collected by the agency.	Destroy in office 3 years after collection.*	
G57	Accounts Uncollectable File	Records concerning the status of accounts in which money cannot be collected by the agency. File includes supporting documentation, write-off authorization, and other related records.	Destroy in office 3 years after account is paid, collected, or is determined to be uncollectable.*	
G58	Annual Reports (Financial) File	Reference copies of reports documenting final financial actions during the completed fiscal year.	Destroy in office after 3 years.	
G59	Bank Statements, Canceled Checks, Deposit Slips, Receipts, Reconciliations, and Warrants File	File includes cash, credit card, debit card, and purchasing card statements and receipts.	<ul style="list-style-type: none"> a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year. 	
G60	Bids File	Records concerning the purchase of equipment, supplies, or services, including requests for proposals (RFP).	<ul style="list-style-type: none"> a) Transfer records concerning successful bids to the Contracts, Agreements, and Leases File (Item G75) when bid is approved. b) Destroy in office unsuccessful bids after 1 year. 	Confidentiality: G.S. § 143-52 G.S. § 143-53
G61	Bond Book File	Records concerning deposits and withdrawals on bonds held by agency.	<ul style="list-style-type: none"> a) Destroy in office official/audit copies 5 years after bond has been cancelled or has expired.* b) Destroy in office remaining records when bond is cancelled or expires. 	
G62	Bond Issues File	Records concerning the sale, purchase, and exchange of bonds issued by the State.	<ul style="list-style-type: none"> a) Retain in office official copies permanently. b) Destroy in office audit copies 2 years after expiration of bond. c) Destroy in office remaining records after 1 year. 	
G63	Bonds and Other Borrowing File	Bond indentures, legal documents, and other related records concerning bonds and other forms of borrowing by the agency.	Destroy in office after 1 year.*	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G64	Budget Administration File	Records concerning the administration of budgets.	Destroy in office after 2 years.*	
G65	Budget Certification File	Reference copies of records documenting each budget's certification by the Office of State Budget and Management.	Destroy in office after 2 years.*	
G66	Budget Correspondence File	Correspondence and other related records concerning budget-related topics.	Destroy in office after 2 years.*	
G67	Budget File	Office budgetary records.	a) Destroy in office end-of-year (June 30 th) budget reports after 1 year. b) Destroy in office remaining records after 5 years.*	
G68	Budget Reports File	Statistical reports generated to support the budget process that are not produced by the North Carolina Accounting System (NCAS).	a) Destroy in office official copies after 10 years. b) Destroy in office remaining records after 1 year.	
G69	Budget Requests File	Budget request forms and briefs concerning capital improvements, expansions, and maintenance projects.	a) Destroy in office official/audit copies 3 years after completion of project.* b) Destroy in office remaining records upon completion of project.	
G70	Budget Revisions File	Records concerning revisions of and amendments to agency budgets.	Destroy in office after 3 years.*	
G71	Capital Improvements File	Reference copies of records concerning capital improvements submitted by agencies and institutions that are under the fiscal control of the Office of State Budget and Management. File includes reference copies of vouchers, checks, purchase orders, and other supporting documentation concerning capital improvements.	Destroy in office 2 years after project is completed.*	
G72	Capital Improvements Funds Monthly Report File	Reference copies of records concerning capital improvements funds transactions.	Destroy in office 2 years after project is completed.*	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G73	Cash Receipts and Journals File	Receipts and journals for money collected.	Destroy in office after 3 years.*	
G74	Check Stubs File	Stubs for checks written on agency accounts.	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
G75	Contracts, Agreements, and Leases File	Contracts, agreements, and leases with consultants, vendors, and other firms concerning services, equipment, and other obligations.	a) Destroy in office sealed contract records 10 years after expiration of contract.* b) Destroy in office remaining records 6 years after expiration of contract.*	
G76	Cost Accounting Reports File	Completed cost accounting reports for agency expenditures.	Destroy in office after 2 years.*	
G77 	Credit Card Employee Use File	Records concerning the use and ownership of credit cards and purchasing cards used by office employees. File includes receipts.	Destroy in office after 2 years.*	Confidentiality: G.S. § 132-1.2(2) G.S. § 132-1.10 (b)(5)
G78 	Credit Card Third Party Use File	Records created in association with credit card transactions entered into by third parties for the purchase of goods or services from the State, such as for the payment of DMV registration fees, permits, licenses, and notary fees.	Destroy in office after 18 months.*	Confidentiality: G.S. § 132-1.2(2)
G79	Daily Cash Reports File	Records concerning daily status of cash. File includes receipts, disbursements, cash, and invested balances.	Destroy in office after 1 year.*	
G80 	Direct Deposit Forms File	Bank deposit slips submitted by employees for direct deposit of funds by agency.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.10 (b)(5)
G81	Disbursing Accounts Statements File	Monthly statements received from the Department of State Treasurer indicating monthly activity, beginning and ending balance, and other related information for each disbursing account.	a) Destroy in office official/audit copies after 7 years.* b) Destroy in office remaining records after 1 year.	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G82 	Earnings File	Time sheets and other related records detailing earnings of employees	<ul style="list-style-type: none"> a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year. 	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G83	Escheats File	Records concerning escheated funds reverting to the State of North Carolina and credited to the State Treasurer.	<ul style="list-style-type: none"> a) Destroy in office audit copies filed prior to July 16, 2012 10 years after report is filed.* b) Destroy in office audit copies filed on or after July 16, 2012 5 years after report is filed.* c) Destroy in office remaining records after 1 year. 	Retention: G.S. § 116B-73
G84	Financial Audit Reports File	Reference copies of audit reports and other records reflecting the financial status of an agency. <i>See also Performance Audit Reports File (Item G33).</i>	Destroy in office after 3 years.	
G85	Fiscal Correspondence (Budget Detail Sheet) File	Records concerning changes in budgets, funds, requests for additional or revised allotments, and other related material.	<ul style="list-style-type: none"> a) Destroy in office audit copies after 2 years.* b) Destroy in office remaining records after 1 year. 	
G86	Fixed Assets File	Inventories of fixed assets.	Destroy in office when superseded or obsolete.*	
G87	General Ledger File	General ledger data concerning budget code transactions not produced by the N.C. Accounting System (NCAS).	<ul style="list-style-type: none"> a) Destroy in office June 30th reports after 4 years.* b) Destroy in office remaining records after 1 year.* 	
G88	Increments File	Records concerning increment increases in an employee's salary.	Destroy in office after 7 years.*	
G89	Invoices File	Invoices concerning purchased materials.	Destroy in office after 3 years.*	
G90	Lapsed Salaries File	Records concerning lapsed salaries.	Destroy in office after 2 years.*	
G91	Legislative Salary Increases File	Records concerning salary increases mandated by legislative action.	Destroy in office after 2 years.*	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G92	Loans File	Records concerning loans, scholarships, and business assistance.	a) Destroy in office official/audit copies 5 years after repayment or elimination of loan.* b) Destroy in office remaining records 1 year after termination or elimination of loan.	
G93	Mail Transmittal Slips File	Mail transmittal slips used to account for postage.	a) Destroy in office official/audit copies after 1 year.* b) Destroy in office remaining records after 6 months.	
G94	Monthly Budget Reports File	Reference copies of monthly budget reports and other related records.	Destroy in office after 2 years.*	
G95	 Payroll Deductions File	Records used to start, modify, or stop all voluntary or required deductions from payroll. File includes contributions to the Teachers' and State Employees' Retirement System (TSERS), bank payments, savings plans, insurance, association dues, and other related records. Used as proof the employee approved of the deduction(s). Does not include federal tax deduction records. See also Tax Forms File (Item G109) and Garnishments File (Item G168).	a) Destroy in office official copies 7 years after deduction is terminated.* b) Destroy in office remaining records after 1 year.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 G.S. § 132-1.10 (b)(5)
G96	 Payroll File	Records concerning salaries paid to employees.	a) Transfer administrative data documenting personnel actions to appropriate individual personnel file when action is approved. b) Destroy in office remaining records after 7 years.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G97	Price Quotations File	Records listing costs of goods.	a) Destroy in office official/audit copies 1 year after superseded.* b) Destroy in office remaining records when reference value ends.	
G98	Procurements and Purchasing File	Records concerning procurements and purchases for the office. File includes purchase orders.	Destroy in office after 5 years.*	
G99	Reconciliation Reports File	Reports listing all outstanding checks or warrants.	a) Destroy in office audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G100	Refunds Reports File	Reports listing returns of revenue.	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
G101	Requisitions File	Requests for orders for equipment or supplies.	a) Destroy in office official/audit copies after 5 years.* b) Destroy in office remaining records after 1 year.	
G102	Requisitions for Funds File	Requisitions used to request transfer of funds.	a) Destroy in office official/audit copies after 2 years.* b) Destroy in office remaining records after 6 months.	
G103	Returned Checks File	Records concerning checks returned for insufficient funds.	a) Destroy in office official/audit copies 1 year after check is paid, collected, or is determined uncollectable.* b) Destroy in office remaining records when check is paid, collected, or is determined uncollectable.	
G104	Reversion and Continuation File	Records concerning the reversion and continuation of agency funds.	a) Destroy in office audit copies after 2 years.* b) Destroy in office remaining records after 1 year.	
G105	Sales Information File	Records concerning items sold by the agency.	Destroy in office after 3 years.*	
G106	Sales Tax File	Records concerning the collection of sales and use taxes by the agency.	a) Destroy in office official/audit copies after 9 years.* b) Destroy in office remaining records after 1 year.	
G107	Statements of Cost File	Records concerning the cost of functions, services, goods, and equipment.	a) Destroy in office official/audit copies after 2 years.* b) Destroy in office remaining records after 1 year.	
G108	Subsidiary Ledgers File	Documents used by agencies not on the N.C. Accounting System (NCAS) showing detail accounts in support of accounts in manually produced general ledgers.	a) Destroy in office official/audit copies after 2 years.* b) Destroy in office remaining records after 1 year.	

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3. BUDGET RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G109 	Tax Forms File	Completed tax forms for agency employees. File includes wage and income tax reports; IRS forms W-2, W-3, W-4, and 1099; NC Department of Revenue form NC-4; and other related records.	Destroy in office after 7 years.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 G.S. § 132-1.10 (b)(5)
G110	Travel Requests and Reimbursements File	Authorizations and requests for reimbursement for travel and related expenses.	a) Destroy in office official/audit copies after 5 years.* b) Destroy in office remaining records after 1 year.	
G111	Utility Bills and Logs File	Bills and usage logs for telephone and other utilities and related services.	Destroy in office after 1 year.*	
G112	Vendor Identification File	Listings of vendors and suppliers from whom materials may be purchased.	Destroy in office when superseded or obsolete.	
G113	Vouchers File	Vouchers and documentation of disbursements.	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	

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4. INFORMATION TECHNOLOGY RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G114 	Agency Information Technology and Data Processing Services Planning File	Records concerning planning for information systems development, technology acquisitions, data processing services provision, or related areas. File includes agency IT plans submitted to Information Technology Services (ITS), data processing services plans, strategic plans, and other related records.	<ul style="list-style-type: none"> a) Destroy in office master copies of plans and supporting documentation after 3 planning cycles subsequent to completion or revision of plans. b) Destroy in office remaining records when superseded or obsolete. 	Confidentiality: G.S. § 132-6.1(c)
G115 	Application Development Project File	Records concerning the development, redesign, or modification of an automated system or application. File includes 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.	Confidentiality: G.S. § 132-1.1(g) G.S. § 132-6.1(c)
G116	Audit Trails File	Records documenting user actions affecting the contents of monitored systems.	Destroy in office after 3 years.*	
G117 	Automated Program Listing Source Code File	Automated program code that generates the machine-language instructions used to operate an automated information system.	Destroy in office after source code is superseded or replaced.*	Confidentiality: G.S. § 132-6.1(c)
G118	Circuits Inventories File	Records concerning network circuits used by the agency. File includes 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.	
G119	Computer and Network Usage File	Records documenting usage of electronic devices and networks. File includes login files, system usage files, individual program usage files, and records of use of the Internet by employees.	Destroy in office after 1 year.	
G120 	Computer Security File	Records concerning routine monitoring of the agency's information technology systems, telecommunications networks, websites, and electronic security systems, including associated software and hardware.	Destroy in office after 3 years.	Confidentiality: G.S. § 132-6.1(c)

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4. INFORMATION TECHNOLOGY RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G121 	Computer Security Incident Report File	Records associated with cyber incidents involving unauthorized attempted entry, probes and/or attacks on agency information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. File includes formal reports, logs, extracts and compilations of data, and other related records.	Destroy in office finalized cyber incident reports after 5 years.*	Confidentiality: G.S. § 132-6.1(c)
G122	Data Documentation File	Records (sometimes known as metadata) concerning the development and/or modification of and the access, retrieval, manipulation, and interpretation of data in an automated system, including data element dictionary, file layout, code book or table, and other records concerning the meaning, purpose, structure, logical relationships, and origin of the data elements. <i>Retention Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives of North Carolina, it is essential that they be accompanied by relevant and accurate data documentation. In these cases, any related documentation described by G115, G122 and G133 for an archival series should be listed separately on the agency unit's Program Records Retention and Disposition Schedule. Application design documentation and user's guides covered by G133 may also serve to explain how data was interpreted and used.</i>	Destroy in office 3 years after discontinuance of system or application and after system's or application's instance data have been destroyed or transferred to a new structure or format.	

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4. INFORMATION TECHNOLOGY RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G123	Data/Database Dictionary File	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. File contains information on data element definitions, data structures or file layout, code tables, and other data attribute information. <i>Retention Note: These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format and that it be listed in a Program Records Retention and Disposition Schedule.</i>	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.	
G124	Digitization and Scanning File	Records concerning imaging operations. File includes scanning and data entry quality control records, audit reports, and other related records.	Destroy in office after 3 years.*	
G125 	Disaster Preparedness and Recovery Planning File	Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. <i>Retention Note: Disaster preparedness and recovery plans should be stored in a secure, off-site location. See also Emergency Management File (Item G13).</i>	<ul style="list-style-type: none"> a) Retain in office records documenting past disaster recovery permanently. b) Destroy in office remaining records when superseded or obsolete. 	Confidentiality: G.S. § 132-1.7(b)
G126	Finding Aids (Indexes)/Tracking Systems File	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. File includes database indexes created in accordance with G.S. §132-6.1(b). <i>Retention Note: Finding aids and tracking systems for program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records.</i>	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.	Authority: G.S. § 132-6.1(b)

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4. INFORMATION TECHNOLOGY RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G127	Information Technology Assistance File	Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel. File includes help desk assistance requests, resolution records, and other related records.	Destroy in office after 2 years.*	
G128	Network/Circuit Installation and Service File	Copies of requests by agencies to public or private providers for data communication service, installation, or repair. File also includes work orders, correspondence, memoranda, work schedules, copies of building or circuitry diagrams, copies of fiscal documents, and other related records.	Destroy in office 2 years after completion of work.*	
G129 	Network Diagrams File	Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-6.1(c)
G130	Project Documentation File	Records created to design, develop, control, or monitor a specific project or group of projects. File includes statements of work, assessments, maintenance agreements, records benchmark datasets, test results constructed or used to test or develop a system, and other related records.	Destroy in office 3 years after completion of project.	
G131	Software License and Copyright Provisions File	Records documenting compliance with agency software license and copyright provisions. File includes software licenses, correspondence, including e-mail, and other related records.	Destroy in office 1 year after software is superseded or obsolete.	
G132 	System Access File	Records documenting user permissions and access to information, programs, or applications within a system.	Destroy in office after 1 year.	Confidentiality: G.S. § 132-6.1(c)
G133 	System Documentation File	Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. File includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-6.1(c)

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4. INFORMATION TECHNOLOGY RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G134	System Maintenance Records: Hardware Repair or Service File	Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. File includes computer equipment inventories and service records.	a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year. b) Retain records documenting all other equipment maintenance and repairs for life of equipment.	
G135 	System Maintenance Records: Records Backups File	Records documenting regular or essential system backups. File includes backup tape inventories, relevant correspondence, including e-mail, and other related records. <i>See also "Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files", available on the State Archives of North Carolina website (http://www.ncdcr.gov/archives/ForGovernment.aspx).</i>	Destroy in office in accordance with your office's established, regular backup plan and procedures.	Confidentiality: G.S. § 132-6.1(c)
G136 	Technical Program 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.*	Confidentiality: G.S. § 132-1.1(g) G.S. § 132-6.1(c)
G137	User Chargebacks for Data Processing Services File	Records used to document, calculate costs, and bill program units for computer usage and data processing services.	Destroy in office after 4 years.*	
G138	Web Management and Operations File: Structure	Site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel. File includes server environment configuration specifications. <i>See also Website File (Item G53).</i>	Destroy in office when superseded or obsolete.	

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G139	Abolished Position File	Records concerning positions that have been abolished.	Destroy in office after 1 year.	
G140 	Addresses File	Listing of employees' addresses and telephone numbers.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G141	Aggregate Service History File	Complete history of each employee's service with the agency.	Transfer to appropriate individual personnel file when completed.	
G142	Applicant Flow Records File	Statistical data concerning all applicants who apply for agency positions over a given period of time.	Destroy in office after 1 year.	
G143 	Applications for Employment (PD-107) File	Completed application forms for employment with resumes and other related documentation.	a) Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. b) Destroy in office applications and other records that are unsolicited and for 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.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1602.31
G144 	Applications for Return of Accumulated Retirement Contributions File	Applications completed by employees for the return of contributions and interest from the Teachers' and State Employees' Retirement System (TSERS).	Destroy in office when released from all audits.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G145 	Aptitude and Skills Testing File	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.	Destroy in office after 2 years.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1602.31 29 CFR 1627.3

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G146	Asbestos Training File	Records concerning training programs for the proper management of asbestos. <i>See also Bloodborne Pathogen Training File (Item G148) and Hazardous Materials Training File (Item G170).</i>	a) Destroy in office employee-specific records 1 year after separation. b) Destroy in office remaining records when superseded or obsolete.	Retention: 29 CFR 1910.1001 (m)(4)
G147	Benefits File	Records concerning benefits available to employees.	Destroy in office 1 year after termination of plan.	Retention: 29 CFR 1627.3 (b)(2)
G148	Bloodborne Pathogen Training File	Records concerning training programs for the proper avoidance of bloodborne pathogen exposure. File includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualification of instructors. <i>See also Asbestos Training File (Item G146) and Hazardous Materials Training File (Item G170).</i>	Destroy in office after 3 years.	Retention: 29 CFR 1910.1030 (h)(2)(ii)
G149 	Certification and Qualifications File	Records concerning certification or qualification as required for employment, continued employment, or promotion.	a) Destroy in office certificates 5 years after date of separation. b) Destroy in office remaining records 2 years after resolution of all actions.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G150 	Civil Rights Case File	Records concerning employee discrimination complaints and requests for reasonable accommodation under Title VII, the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), and the Genetic Information Nondiscrimination Act (GINA). <i>See also Civil Rights File (Item G8).</i>	Destroy in office 2 years after resolution of case.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1602.31
G151	Class Specifications File	Records concerning the determination of position classification levels. File includes listings providing classification, titles, and position numbers.	Destroy in office after 1 year.	
G152	Classifications File	Forms and other related records used to request a personnel action from the Office of State Human Resources concerning existing, new, or additional positions.	Destroy in office when superseded or obsolete.	

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G153 	COBRA (Consolidated Omnibus Budget Reconciliation Act) File	Records concerning the administration of insurance for former employees under COBRA. File includes notifications, election and claim forms, rejection letters, and other related records.	Destroy in office 3 years from date eligibility expired.	Authority: 26 USC 4980B 29 USC 1161 29 USC 1162 42 USC 300bb-1 Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G154 	Death Claims File	Records concerning death claims filed by dependents of retired and active employees.	Destroy in office 5 years after claim is paid.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G155 	Disability Salary Continuation Claims File	Claims completed by disabled employees to apply for salary continuation benefits.	a) Transfer original records to Teachers' and State Employees' Retirement System (TSERS) for action when received. b) Destroy in office remaining records after 1 year.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G156 	Disciplinary File	Correspondence and other records concerning disciplinary actions taken against employees.	Destroy in office 2 years after final resolution.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1602.31

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G157 	Drug and Alcohol Prevention Programs File	Records concerning an agency's alcohol misuse and controlled substances use prevention programs. File includes test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related records. <i>Retention Note: Records should be maintained in a location with controlled access.</i>	a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug & Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years. b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years. c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years. d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year. e) Destroy in office remaining records after 3 years.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 49 CFR 40.333 49 CFR 382.401 49 CFR 655.71
G158 	Dual Employment File	Records concerning employees requesting and engaging in dual employment within State government.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office denied requests and related records after 6 months.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G159 	Educational Assistance File	Records concerning educational assistance provided to employees. File includes records requesting tuition assistance, repayments, and other related records.	Destroy in office 3 years after completion, denial, repayment, or removal from program.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G160 	Educational Leave and Reimbursement File	Records concerning requests for educational leave and tuition reimbursement. <i>See also Leave File (Item G174).</i>	a) Destroy in office records concerning approved requests when released from all audits. b) Destroy in office records concerning denied requests 6 months after denial.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 20 USC 1232g
G161 	Employee Assistance Program (EAP) File	Reference copies of records concerning the Employee Assistance Program (EAP) and related assistance and counseling opportunities.	Destroy in office after 3 years.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G162 	Employee Polygraph File	Records concerning polygraph tests requested of agency employees. File includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 801.30
G163	Employee Suggestion (ES) File	Records concerning suggestions of employees through the Employee Suggestion (ES) System or through employee surveys.	a) Destroy in office records concerning adopted suggestions after 4 years. b) Destroy in office records concerning non-accepted suggestions after 1 year.	
G164 	Employment Eligibility Verification (Form I-9) File	Completed I-9 forms (federal employment eligibility verification forms) and related records for each agency employee.	Mandatory retention throughout the duration of an individual's employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 8 USC 1324a(b)(3)

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G165 	Employment Selection File	Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. File includes interview documentation, recommendation forms submitted by interviewers, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and other related records. <i>See also Aptitude and Skills Testing File (Item G145).</i>	a) Transfer selection records for individuals hired to agency personnel file when individual accepts position. b) Destroy in office remaining records 2 years after resolution of all actions.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1602.31 29 CFR 1627.3 (b)(1)
G166 	Exit Interviews File	Interviews conducted with employees planning to separate from the agency.	Destroy in office after 1 year.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G167 	Family Medical Leave Act (FMLA) File	Records concerning leave under the Family Medical Leave Act (FMLA). <i>See also Leave File (Item G174).</i>	Destroy in office 3 years after date of last activity.	Authority: 29 CFR 829.110 (b)(2)(i) Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 825.500(b)
G168 	Garnishments File	Records concerning the garnishments of employees' wages.	Destroy in office 3 years after termination of deduction.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G169 	Grievance File	Records concerning employee grievances.	Destroy in office 2 years after resolution.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G170	Hazardous Materials Training File	Records concerning training programs for the proper avoidance of hazardous material exposure. File includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors. <i>See also Asbestos Training File (Item G146) and Bloodborne Pathogen Training File (Item G148).</i>	Destroy in office after 5 years.	Authority: 29 CFR 1910.120 (p)(8) (iii)
G171 	Health Certificates File	Records concerning employees' medical fitness for work-related duties. File includes health or physical examination reports, certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA), and other related records. <i>See also Medical Records File (Item G177).</i>	Destroy in office 1 year after resolution of all actions.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G172 	Insurance Plans File	Records concerning health, life and related insurance plans available to agency employees.	Destroy in office 1 year after termination of plan.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1627.3 (b)(2)
G173 	Internship Program File	Records concerning student internship programs within the agency.	Destroy in office after 3 years.	Confidentiality: 20 USCA 1232g
G174 	Leave File	Records concerning leave by agency personnel. <i>See also Educational Leave and Reimbursement File (Item G160), Family Medical Leave Act (FMLA) File (Item G167), Leave Without Pay File (Item G175), Military Leave File (Item G178), and Voluntary Shared Leave File (Item G202).</i>	Destroy in office after 3 years.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G175 	Leave Without Pay File	Records concerning leave without pay by agency personnel. <i>See also Leave File (Item G174).</i>	Destroy in office 3 years after return of employee or termination of employment.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G176 	Longevity File	Records concerning employees eligible for longevity pay.	Destroy in office after 7 years or when released from all audits.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G177 	Medical Records File	Records concerning medical and health status which can include asbestos, toxic substances, and blood-borne pathogen exposure, as well as medical examinations of agency employees. File includes medical leave permit forms, reference copies of workers compensation injury reports, treatment reports, and other related records. <i>See also Health Certificates File (Item G171).</i>	<ul style="list-style-type: none"> a) Destroy in office exposure records 40 years from date of exposure. b) Destroy in office first aid records (not including medical histories) of minor injuries which do not involve medical treatment, if made on-site by a non-physician, after 5 years. c) Destroy in office remaining records 30 years after employee terminates service. <p><i>Retention Note: The medical records of employees who have worked for less than 1 year for the employer may be destroyed upon separation if they are provided to the employee upon the termination of employment.</i></p>	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1627.3 (b)(1)(v) 29 CFR 1630.14(b) 29 CFR 1910.1020 (d)
G178 	Military Leave File	Requests for and approval of military leave. <i>See also Leave File (Item G174).</i>	Destroy in office 3 years after return of employee or termination of employment.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G179 	Performance Management Program (PMP) File	Records concerning employees' goals and primary tasks. File includes performance evaluations.	<ul style="list-style-type: none"> a) Destroy in office official copies after 3 years.* b) Destroy in office remaining copies when superseded or obsolete. 	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G180 	Personnel (Active) File	Reference copies of records concerning office personnel. File includes applications for employment, resumes, personnel action forms, and other related records.	Transfer to agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G181 	Personnel Action Forms (PD-105) File	Reference copies of records concerning personnel action changes.	Destroy in office after 1 year.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G182	Personnel Correspondence File	Office correspondence and memoranda concerning agency personnel matters.	Destroy in office after 3 years.	
G183	Position Control File	Records concerning personnel actions and position control, status of each established permanent, full-time, or part-time position, and other related topics.	Destroy in office after 1 year.	
G184	Position Descriptions File	Job description for each position.	Destroy in office 2 years from date superseded or obsolete.	Retention: 29 CFR 1620.32
G185	Position History (PD-118R) File	Classification records and complete histories of salaried positions within the agency.	Retain in office permanently.	
G186	Position Evaluation Description File	Forms used to evaluate the primary purpose of a position.	Destroy in office after 1 year.	
G187	Position Listings, Advertisements, and Announcements File	Records used to promote open positions with the agency.	Destroy in office after 2 years.	Retention: 29 CFR 1627.3 (b)(1)(vi)
G188 	Reduction-in-Force (RIF) File	Records concerning employees who have been terminated due to a reduction in force.	Transfer to the agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G189 	Retirement Benefits File	Records concerning retirement beneficiaries for death benefits, personal data of employees who plan to retire or have retired, descriptive information about retirement system, and other related topics.	a) Transfer original forms concerning beneficiaries to the Department of State Treasurer, Retirement Systems Division, when received. b) Destroy in office remaining records when reference value ends.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G190	Salary Changes File	Notifications of salary changes.	Destroy in office after 1 year.	
G191	Salary Ranges File	Records concerning salary ranges and classifications of positions received from the Office of State Human Resources.	Destroy in office when superseded.	
G192	Savings Bond File	Reference information concerning the federal savings bond program.	Destroy in office when reference value ends.	

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G193 	Secondary Employment File	Records concerning employees requesting and engaging in secondary employment.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office denied requests and related records after 6 months.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G194	Service Awards File	Lists of employees eligible for and receiving awards.	Destroy in office 2 years from date of award.	
G195 	Shift Premium Pay File	Authorizations and other related records concerning employees receiving shift premium pay.	Destroy in office after 3 years.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G196 	Statement of Back Pay File	Forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or a State Human Resources Commission order.	Destroy in office after 3 years.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G197 	Training File	Records concerning the training of agency personnel, including the training, testing or continuing education of employees. File includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.). <i>See also Conferences and Workshops File (Item G10), Asbestos Training File (Item G146), Bloodborne Pathogen Training File (Item G148), and Hazardous Materials Training File (Item G170).</i>	a) Transfer employee-specific records as applicable to Personnel (Active) File (Item G180) upon completion of training. b) Destroy in office remaining records after 1 year.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24 Retention: 29 CFR 1627.3 (b)(1)(ii) 29 CFR 1627.3 (b)(1)(iv)
G198 	Unemployment Compensation Claims File	Records concerning unemployment compensation cases.	a) Destroy in office after 3 years.*	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G199 	Unemployment Insurance File	Division of Employment Security (DES) forms used to report wage records of terminated employees.	a) Transfer original records to the Department of Commerce, Division of Employment Security, when received. b) Destroy in office remaining records after 2 years.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24

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5. PERSONNEL RECORDS

Series #	Series Title	Series Description	Disposition Instructions	Citation
G200	Vacancy File	Records concerning vacant positions.	Destroy in office when superseded or obsolete.	
G201 	Verification of Employment File	Inquiries and responses concerning verification of an employee's previous employment.	Destroy in office after 1 year.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G202 	Voluntary Shared Leave File	Records concerning participation in the voluntary shared leave program. <i>See also Leave File (Item G174).</i>	Destroy in office after 3 years.	Confidentiality: G.S. § 126-22, § 126-23, and § 126-24
G203	Volunteer File	Records concerning volunteers within the agency. File includes volunteers' applications, job descriptions, and time logs.	Destroy in office 3 years after volunteer has ended work.	
G204	Work Schedules File	Records concerning shift and duty assignments.	Destroy in office after 1 year.	
G205 	Workers' Compensation Litigation and Claims File	Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. File includes Employer's Report of Employee's Injury (Form 19), accident investigation reports, medical reports, Notice of Accident to Employer and Cause of Employee (Form 18), reference copies of medical invoices, and other related records. File also includes reference copies. <i>Retention Note: Records concerning claims filed for injuries which occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i>, 333 N.C. 258 S.E.2d 698 (1993).</i> <i>See also Workers' Compensation Program Administration File (Item G206).</i>	<ul style="list-style-type: none"> a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. b) Transfer official copy of claims records to the Industrial Commission in compliance with G.S. § 97-92(a). c) 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. d) Destroy in office remaining records 5 years after closing, in accordance with G.S. § 97-24(c).* 	Retention: <i>Hylar v. GTE Prods. Co.</i> , 333 N.C. 258 S.E.2d 698 (1993) G.S. § 97-24(c) Confidentiality: G.S. § 8-53 G.S. § 126-22, § 126-23, and § 126-24
G206	Workers' Compensation Program Administrative File	Records concerning the administration of workers' compensation programs and policies. <i>See also Workers' Compensation Litigation and Claims File (Item G205).</i>	Destroy in office after 1 year.	

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DESTRUCTION OF PUBLIC RECORDS

Authorized Methods of Destruction

Destruction of public records is specified in the N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510:

- (a) Paper records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways:
 - burned, unless prohibited by local ordinance
 - shredded, or torn up so as to destroy the record content of the documents or material concerned
 - placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
 - sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.
- (b) Electronic records should be destroyed in this way:
 - the data and metadata are to be overwritten, deleted, and unlinked so the data and metadata may not be practicably reconstructed.
- (c) Confidential records and records containing confidential information, whether paper or electronic, should be destroyed in this way:
 - the data, metadata, and physical media are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be viewed, used or recreated. For electronic records, permanent erasure or deletion of records or data requires specialized software, equipment, and/or skills. If this level of destruction is required, it is best to consult with IT professionals.

Destruction of Unscheduled Records

No agency records may be destroyed if they are not represented on the General Schedule for State Agency Records or an applicable Program Records Retention and Disposition Schedule. Contact the Records Management Analyst assigned to your agency, or your agency's Chief Records Officer. They will work with you to update or amend your office's Program Records Schedule to include these records.

Records Destruction Documentation

State agencies should document destruction of their records. Records Management records are covered in Item G41 of the General Schedule. Records transfer forms and destruction logs should be retained in office permanently.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

Government Records Section
Division of Archives and Records
Office of Archives and History
Department of Cultural Resources

Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

ELECTRONIC RECORDS: E-MAIL

Retention of E-mail

E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is just as much a record as any traditional paper record. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail client or directly in a computer drive). Some examples of e-mail messages that are public records and therefore covered by this policy include:

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

The e-mail of employees in Executive Branch agencies is governed by Executive Order 12, signed by Governor Pat McCrory on May 21, 2013. Executive Order 12 states that all e-mail must be retained for at least 5 years. This 5-year retention is managed by ITS or the agency's e-mail provider, by capturing at least once every 24 hours all e-mail messages sent or received. While ITS is responsible for maintaining a safe and secure storage environment for your e-mail, however, you as the records custodian are responsible for managing your e-mail within your e-mail client in accordance with your retention schedule(s).

Some e-mail needs to be kept longer than 5 years, including e-mail with permanent historical value. Some examples of e-mail that may need to be kept for longer than 5 years include:

- Director's correspondence
- E-mail related to special projects
- E-mail related to case files or clients
- E-mail currently under an audit or litigation hold

As a custodian of public records, you are obligated to manage all of your records, including e-mail, in such a way as to promptly and accurately respond to public records requests, audits, and litigation. Check your office's Program Records Retention Schedule to determine if you generate any e-mail with a retention period longer than 5 years.

The e-mail of employees in agencies that do not follow Executive Order 12 should be retained the same length of time as its paper counterparts. **It is inappropriate to destroy e-mail simply because storage limits have been reached.**

Whether your agency is governed by Executive Order 12 or not, file your e-mail in a logical folder structure that divides e-mail in different records series, and further separates e-mail in the same record series with confidential information. This will greatly assist you and your agency in retrieving records, especially in response to public records requests, and in retaining your e-mail records appropriately.

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Methods of E-mail Retention

E-mail should be retained in its original client or exported electronically. We do not recommend printing e-mail for preservation purposes. Important metadata is lost when e-mail is printed.

Use of Private E-mail Accounts

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

This is upheld by Executive Order 18 (Governor Perdue): “Executive Branch employees who conduct State business via personal e-mail accounts shall ensure that all public records are retained in accordance with this Executive Order and are retained pursuant to the Public Records Law and applicable retention schedules.”

E-mail Management Guidelines and Tutorials

The State Archives has published guidelines and online tutorials for e-mail here:

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

Please note that Executive Branch agencies are required to take the online e-mail tutorial.

ELECTRONIC RECORDS: RETENTION AND DISPOSITION INSTRUCTIONS

Use of Digital Imaging Systems

State agencies may scan any record, including permanent records. You will need to receive approval from the State Archives of North Carolina in order to destroy paper originals that have been digitized, and you will also need to update your office’s Program Records Retention and Disposition Schedule to reflect this change to your recordkeeping practices. Contact your agency’s Records Management Analyst for additional guidance.

Electronic Records Management Guidelines

The State Archives of North Carolina has published a wide variety of guidelines on electronic records, including best practices for file naming, file formats, and maintaining trustworthy digital public records. Publications are available at this link:

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

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DISASTER ASSISTANCE

In the Event of an Emergency

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

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

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

Emergency Assistance

In the event of an emergency in your office, the State Archives of North Carolina is happy to assist your agency in any way that we are able. 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.

Disaster Preparedness

The State Archives of North Carolina provides training to interested 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, call the Records Management Analyst assigned to your agency.

Essential Records

Essential records are defined as follows:

Records needed for the Continuity of Operations (COOP) of a government agency during and following an emergency. They are records an agency must have to perform one or more of the following critical functions: operate during an emergency; resume or continue business after an emergency; re-establish the legal, financial, and/or functional status of the agency; rebuild the community after the crisis passes. (From "Glossary of Key Terms," Intergovernmental Preparedness for Essential Records (IPER) Project, July 2010)

Identifying the essential records in your office and protecting these records is critical to mitigating the effects of a disaster. Essential records should be stored in safe, secure locations, and duplicated and stored off-site, if possible.

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STAFF TRAINING

On-site Workshops

The State Archives of North Carolina has a set of workshops that we offer at various locations throughout the State, as well as at our office in the State Records Center in Raleigh. Contact your Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Introduction to Managing Public Records
- Organizing Your Digital and Paper Files
- The Digital Divide Also Multiplies: Your Responsibilities for Managing E-mail
- Bits, Bytes, and Backups: The Basics of Electronic Public Records

We can also design custom workshops for your office. Let the Records Management Analyst assigned to your agency know what type of training you need. We will also do presentations for professional associations, regional consortiums, and the public. We have no minimum audience requirement, and we can travel to your offices to present the workshops you need.

Our workshops are currently free of charge.

Online Training Resources

The State Archives of North Carolina also has several online tutorials available. These can be found on the State Archives of North Carolina website at <http://www.ncdcr.gov/archives/ForGovernment/ServicesandTraining/OnlineTutorials.aspx>.

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APPENDIX 2: CURRENT AMENDMENTS TO THE GENERAL SCHEDULE**THE FOLLOWING ITEMS FROM THE NEW GENERAL SCHEDULE APPROVED MAY 1, 2015 HAVE BEEN REMOVED:****ADMINISTRATIVE RECORDS:**

Item G3. Administrative File
Item G5. Announcements File
Item G9. Bulletins File
Item G11. Catalogs File
Item G17. Energy Conservation File
Item G19. Facility Accessibility File
Item G21. Incident Reports File
Item G45. Visitor Monitoring File

BUDGET RECORDS:

Item G62. Budget Analysis File
Item G71. Capital Improvements Support File
Item G78. Deposits File
Item G85. Fund Applications File
Item G88. Insurance Deductions File
Item G95. Outstanding or Overdue Bills File
Item G100. Purchase Orders File
Item G105. Retirement (Printouts) File
Item G111. Social Security (Printouts) File
Item G119. Withholding Forms (W-2) File

INFORMATION TECHNOLOGY RECORDS:

Item G120. Access and Security Policies File
Item G122. Data Processing Administration File
Item G123. Data Processing Policies File
Item G124. Data Processing Product/Vendor and State Contracts Reference File
Item G125. Information Technology Services (ITS) Billing File
Item G126. Private Service Providers Fiscal File
Item G131. Data Processing Procurement File
Item G133. Maintenance Contract File
Item G135. Test Database File
Item G136. Training Course Information File
Item G137. Automated Off-Line Storage Library System File
Item G139. Computer Run Scheduling File
Item G143. Data Processing Hardware Documentation File
Item G144. Data Processing Operating Procedures File

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GENERAL SCHEDULE FOR STATE AGENCY RECORDS
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PUBLISHED: MAY 1, 2015

Item G145. Data Processing Unit Copies of Output Reports File
Item G146. Destruction of Files Reports ("Scratch Reports") File
Item G148. Employee Internet Use Logs File
Item G149. Input Documents File
Item G150. Network Usage File
Item G151. Network Usage Reports File
Item G152. Off-Line Storage Library Control Records File
Item G153. Operating System and Hardware Conversion Planning File
Item G154. Print File
Item G155. Quality Assurance File
Item G156. Summary Computer Usage Reports File
Item G157. Summary or Extracted Data File
Item G160. Valid Transaction File
Item G161. Work/Intermediate File
Item G163. Data/Database Dictionary Reports File
Item G166. Hardware and Software Review File
Item G167. Site/Equipment and Software Support File
Item G168. Agency Internet Services Logs File
Item G171. Network Site/Equipment Support File
Item G172. Network Implementation Project File
Item G177. Allocated List File

PERSONNEL RECORDS:

Item G206. Personnel Reference File

THE FOLLOWING ITEMS FROM THE NEW GENERAL SCHEDULE APPROVED MAY 1, 2015 HAVE BEEN AMENDED:**E-MAIL RECORDS:**

Item G1. E-Mail Messages File

ADMINISTRATIVE RECORDS:

Item G2. Accident/Incident Reports File
Item G5. Associations and Organizations File
Item G8. Civil Rights File
Item G10. Conferences and Workshops File
Item G12. Discrimination Complaints File
Item G13. Emergency Management File
Item G16. Facility Maintenance, Housekeeping, and Repairs File
Item G22. Invitations File
Item G23. Itineraries File
Item G24. Legal Correspondence and Memoranda File
Item G30. Media File

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Item G31. Occupational Safety and Health Administration (OSHA) File
Item G34. Presentations File
Item G39. Publicity File
Item G40. Received Directives, Reports, Policies, and Procedures File
Item G41. Records Management File
Item G43. Reports and Studies File
Item G45. Security and Video Surveillance File
Item G47. Staff Meetings File

BUDGET RECORDS:

Item G59. Bank Statements, Canceled Checks, Deposit Slips, Receipts, Reconciliations, and Warrants File
Item G60. Bids File
Item G73. Cash Receipts and Journals File
Item G75. Contracts, Agreements, and Leases File
Item G82. Earnings File
Item G83. Escheats File
Item G84. Financial Audit Reports File
Item G86. Fixed Assets File

INFORMATION TECHNOLOGY RECORDS:

Item G116. Audit Trails File
Item G119. Computer and Network Usage File
Item G120. Computer Security File
Item G125. Disaster Preparedness and Recovery Planning File
Item G127. Information Technology Assistance File
Item G132. System Access File
Item G133. System Documentation File
Item G135. System Maintenance Records: Records Backups File

PERSONNEL RECORDS:

Item G139. Abolished Position File
Item G142. Applicant Flow Records File
Item G143. Applications for Employment (PD-107) File
Item G147. Benefits File
Item G151. Class Specifications File
Item G156. Disciplinary File
Item G161. Employee Assistance Program (EAP) File
Item G164. Employment Eligibility Verification (Form I-9) File
Item G167. Family Medical Leave Act (FMLA) File
Item G169. Grievance File
Item G172. Insurance Enrollment File
Item G174. Leave File
Item G175. Leave Without Pay File
Item G176. Longevity File

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Item G177. Medical Records File
Item G178. Military Leave File
Item G183. Position Control File
Item G184. Position Descriptions File
Item G186. Position Evaluation Description File
Item G194. Service Awards File
Item G197. Training File
Item G202. Voluntary Shared Leave File
Item G205. Workers' Compensation Litigation and Claims File
Item G206. Workers' Compensation Program Administrative File

THE FOLLOWING ITEMS FROM THE NEW GENERAL SCHEDULE APPROVED MAY 1, 2015 HAVE BEEN ADDED:**ADMINISTRATIVE RECORDS:**

Item G3. Administrative Rule File
Item G4. Affidavits of Publication File
Item G11. Customer Call Center Recordings File
Item G18. Forms and Templates File
Item G19. Indices File
Item G25. Legislative File
Item G26. Loss Control Inspections File
Item G29. Material Safety Data Sheets File
Item G33. Performance Audit Reports File
Item G35. Public Hearings File
Item G36. Public Records Requests File
Item G46. Social Media File
Item G50. Surveys File

BUDGET RECORDS:

Item G79. Daily Cash Reports File

INFORMATION TECHNOLOGY RECORDS:

Item G124. Digitization and Scanning File
Item G129. Network Diagrams File
Item G130. Project Documentation File
Item G131. Software License and Copyright Provisions File
Item G134. System Maintenance Records: Hardware Repair or Service File
Item G138. Web Management and Operations File: Structure

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PERSONNEL RECORDS:

- Item G145. Aptitude and Skills Testing File
- Item G146. Asbestos Training File
- Item G148. Bloodborne Pathogen Training File
- Item G149. Certification and Qualifications File
- Item G150. Civil Rights Case File
- Item G153. COBRA (Consolidated Omnibus Budget Reconciliation Act) File
- Item G157. Drug and Alcohol Prevention Programs File
- Item G159. Educational Assistance File
- Item G162. Employee Polygraph File
- Item G165. Employment Selection File
- Item G166. Exit Interviews File
- Item G170. Hazardous Materials Training File
- Item G171. Health Certificates File
- Item G187. Position Listings, Advertisements, and Announcements File
- Item G203. Volunteer File

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APPENDIX 3: PRIOR AMENDMENTS TO THE GENERAL SCHEDULE

**THE FOLLOWING ITEMS WERE REMOVED FROM THE GENERAL SCHEDULE:
APPROVED OCTOBER 1, 2000:**

ADMINISTRATIVE RECORDS:

Item G3. Administrative Procedures Act (APA or Administrative Code) File.

BUDGET RECORDS:

Item G93. Paid Checks and Warrants File.

**THE FOLLOWING ITEMS FROM THE GENERAL SCHEDULE WERE AMENDED:
APPROVED OCTOBER 1, 2000**

ADMINISTRATIVE RECORDS:

Item G49. Workers' Compensation Litigation and Claims File.

BUDGET RECORDS:

Item G56. Bids File.

Item G71. Cash Receipts and Journals File.

Item G73. Contracts, Agreements, and Leases File.

Item G78. Disbursing Accounts Statements File.

Item G85. Increments File.

PERSONNEL RECORDS:

Item G176. Applications for Employment (PD-107) File.

Item G186. Employee Assistance Program (EAP) File.

Item G188. Family Medical Leave Act (FMLA) File.

**THE FOLLOWING ITEMS WERE ADDED TO THE GENERAL SCHEDULE:
APPROVED JANUARY 10, 2004.**

BUDGET RECORDS:

Item G76. Direct Deposit Forms File.

PERSONNEL RECORDS:

Item G197. Medical Records File.

Item G221. Voluntary Shared Leave File.

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GENERAL SCHEDULE FOR STATE AGENCY RECORDS
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**THE FOLLOWING ITEMS FROM THE GENERAL SCHEDULE WERE AMENDED:
APPROVED AUGUST 31, 2006.****ADMINISTRATIVE RECORDS:**

Item G49. Workers' Compensation Litigation and Claims File.

Item G73. Contracts, Agreements, and Leases File.

BUDGET RECORDS:

Item G113. Travel Requests and Reimbursements File.

INFORMATION TECHNOLOGY RECORDS:

Item G164. Computer Usage File.

Item G165. Network Usage File.

Item G166. Network Usage Report File.

Item G167. Agency Internet Services Logs File.

Item G168. Employee Internet Use Logs File.

Item G169. Computer Security Incident File.

PERSONNEL RECORDS:

Item G181. Death Claims File.

Item G183. Disciplinary File.

Item G198. Military Leave File.

**THE FOLLOWING ITEMS WERE ADDED TO THE GENERAL SCHEDULE:
APPROVED AUGUST 31, 2006.****ADMINISTRATION RECORDS:**

Item G46. Web Site File.

INFORMATION TECHNOLOGY RECORDS: (New Section)**PERSONNEL RECORDS:**

Item G188. Employment Eligibility Verification (Form I-9) File.

**THE FOLLOWING ITEMS FROM THE GENERAL SCHEDULE WERE AMENDED:
APPROVED AUGUST 31, 2009****ADMINISTRATIVE RECORDS:**

Item G15. Emergency Management File.

Item G35. Publications Received File.

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GENERAL SCHEDULE FOR STATE AGENCY RECORDS
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PUBLISHED: MAY 1, 2015

BUDGET RECORDS:

- Item G76. Credit Card Employee Use File.
- Item G81. Earnings File.

INFORMATION TECHNOLOGY RECORD:

- Item G121. Agency Information Technology and Data Processing Services Planning File.
- Item G129. Automated Program Listing Source Code File.
- Item G135. Test Database File.
- Item G139. Computer Run Scheduling File.
- Item G141. Computer Security Incident File.
- Item G144. Data Processing Operating Procedure File.
- Item G158. System Backup File.

PERSONNEL RECORDS:

- Item G219. Training Records File.

**THE FOLLOWING ITEMS FROM THE GENERAL SCHEDULE WERE ADDED:
APPROVED AUGUST 31, 2009.**

E-MAIL RECORDS:

- Item G1. E-Mail Messages File.

BUDGET RECORDS:

- Item G77. Credit Card Third Party Use File.

INFORMATION TECHNOLOGY RECORDS:

- Item G140. Computer Security File.

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APPENDIX 4: EXECUTIVE ORDERS GOVERNING E-MAIL



State of North Carolina

PAT McCRORY
GOVERNOR

May 21, 2013

EXECUTIVE ORDER NO. 12

AMENDING THE STATE E-MAIL RETENTION AND ARCHIVING POLICY

WHEREAS, the North Carolina Public Records Law declares that the public records and public information compiled by the agencies of North Carolina government or its subdivisions are the property of the people; and

WHEREAS, Governor Perdue issued Executive Order 18, entitled E-mail Retention and Archiving Policy, on July 7, 2009; and

WHEREAS, the Office of Information Technology Services (ITS) is transitioning to a new enterprise e-mail archiving system; and

WHEREAS, the State will achieve significant cost savings by reducing the number of years e-mails that must be maintained in the ITS archiving system; and

WHEREAS, the North Carolina Department of Cultural Resources (DCR) may preserve e-mails of historical value for the State's permanent collection.

NOW, THEREFORE, pursuant to the authority vested in me as Governor by the Constitution and the laws of the State of North Carolina, **IT IS ORDERED THAT:**

1. Executive Branch employees shall treat all e-mail messages which they send or receive in connection with the transaction of public business as public records and shall handle and maintain them in compliance with the Public Records Law and records retention schedules in the same manner as paper documents or other tangible records.
2. All Executive Branch agencies shall copy all e-mails sent and received by their employees to an archive at least once daily. ITS shall provide and maintain an archive service for all agencies for which it provides e-mail services. ITS e-mail archives shall be maintained for five years unless a longer period is required by law or by an approved records retention and disposition schedule. Each Executive Branch agency that does not use ITS e-mail services or the ITS e-mail archive shall employ an archiving system that creates a back-up copy of the messages in all agency e-mail systems at least once daily. E-mails retained in agency archives systems shall also be retained for five years.

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Appendix 4: Executive Orders Governing E-mail

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PUBLISHED: MAY 1, 2015

3. All e-mail archives created after the issuance of Executive Order 150 and prior to the implementation of such enterprise e-mail archive systems shall be maintained for 5 years unless a longer period is required by law or by an approved records retention and disposition schedule.

4. The Department of Cultural Resources shall develop a policy that identifies those e-mails of historical value that should be retained for a longer period of time. ITS shall work with the North Carolina Department of Cultural Resources, and other agencies as necessary, to identify and transfer e-mails to the Department of Cultural Resources that should be preserved beyond 5 years.

5. Except as amended herein, Executive Order 18 remains in full force and effect.

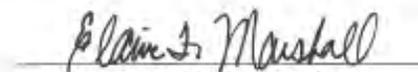
6. This Executive Order is effective immediately and shall remain in effect until rescinded.

IN WITNESS WHEREOF, I have hereunto signed my name and affixed the Great Seal of the State of North Carolina at the Capitol in the City of Raleigh, this the 21st day of May in the year of our Lord two thousand and thirteen, and of the Independence of the United States of America the two hundred and thirty-seventh.


Pat McCrory
Governor



ATTEST:


Elaine F. Marshall
Secretary of State

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EXECUTIVE ORDER NO. 18
E-MAIL RETENTION AND ARCHIVING POLICY

WHEREAS, the North Carolina Public Records Law declares that the public records and information compiled by the agencies of North Carolina government are the property of the people; and

WHEREAS, all e-mail messages sent and received in the transaction of state business are public records; and

WHEREAS, a transparent government and the citizens' right to access public records are of paramount importance; and

WHEREAS, Governor Easley issued Executive Order Number 150, entitled E-mail Retention and Archiving, on January 9, 2009; and

WHEREAS, I have reviewed Executive Order Number 150 and determined that some of the provisions in the aforementioned order should be clarified.

NOW, THEREFORE, pursuant to the authority vested in me as Governor by the Constitution and the laws of the State of North Carolina, **IT IS ORDERED THAT:**

RESCISSION

1. Executive Order Number 150, dated January 9, 2009, is hereby rescinded.

EMPLOYEE RESPONSIBILITIES

2. Executive Branch employees shall treat all e-mail messages which they send or receive via state government e-mail accounts as public records and shall handle and maintain them in compliance with the Public Records Law and records retention schedules in the same manner as paper documents or other tangible records.

GENERAL SCHEDULE FOR STATE AGENCY RECORDS
Appendix 4: Executive Orders Governing E-mail

PUBLISHED: MAY 1, 2015

3. Employees have no expectation of privacy in their electronic correspondence, and all employees shall assume that information on the State's e-mail system is subject to public review and to review by state officials.
4. All outgoing e-mails sent from Executive Branch State e-mail accounts shall include language notifying the recipient(s) that the message is subject to the Public Records Law and may be disclosed to third parties.
5. Executive Branch employees shall not permanently delete any e-mail messages that they **send** for at least 24 hours, and shall not permanently delete any e-mail messages they **receive** for at least 24 hours except that they may immediately and permanently delete any e-mail messages they **receive** that are not clearly related to the transaction of State business, such as e-mails containing advertising materials or offensive materials. After 24 hours, Executive Branch employees shall retain or delete e-mails they have sent or received according to the retention schedules for their agency established by the Department of Cultural Resources.
6. Executive Branch employees who conduct State business via personal e-mail accounts shall ensure that all public records are retained in accordance with this Executive Order and are retained pursuant to the Public Records Law and applicable record retention schedules.
7. Executive Branch employees shall not use State e-mail accounts for political purposes, to conduct private commercial transactions or to engage in private business activities. Executive Branch employees may use State e-mail for limited family or personal communications so long as those communications do not interfere with their work.

AGENCY RESPONSIBILITIES

8. All Executive Branch agencies shall copy all e-mails sent and received by their employees on backup tapes at least once daily. The Office of Information Technology Services (ITS) will provide this backup service to all agencies for which it provides e-mail services. Each Executive Branch agency that does not use ITS e-mail services shall employ a back-up system that creates a back-up copy of the messages in all e-mail systems of the agency at least once daily. All backup tapes created after the issuance of Executive Order 150 and prior to the implementation of a single e-mail archive system will be maintained for 10 years. After implementation of an e-mail archive system, backup tapes will be maintained for such period as ITS may establish.
9. ITS will procure an e-mail archive system as soon as practicable and provide that system to all agencies for which it provides e-mail services. ITS will make this archive system available to other Executive Branch agencies as soon as practicable. E-mails shall be retained in this system for 10 years. ITS will consult with the North Carolina Department of Cultural Resources (DCR) to identify e-mails that should be preserved beyond 10 years.

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Records series not listed in this index should be included in your office's program records schedule.

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 Administrative Procedures Act · *See Administrative Rule File*
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