

16. Risk Management

Risk Management is the function of identifying, analyzing, and assessing unacceptable risks along with handling their avoidance, control, minimization, or elimination.

NOTE: For audits, see MONITORING AND COMPLIANCE.

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An index for the entire functional schedule is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>.

Few Risk Management records have archival value, although many record types have long retention periods (e.g., some Disaster Recovery Records [RC No. 1623] should be retained in office permanently). The retention periods for many risk management records are triggered by the expiration of a policy or the resolution of an accident or incident; for this reason, it is best to organize risk management records chronologically according to these trigger events. For example, by doing so, in 2018 an agency could easily identify and destroy any damaged property reports (RC No. 1612) that were completed before 2015. There are also many records under Risk Management that are iterative in nature and hold no value beyond the next successive version. These record types, such as Employee Security Records (RC No. 1652), should be destroyed in office when they are superseded or obsolete.

These functional schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. (A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.) Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. A key for the functional schedule along with definitions of important records management terms can be found in the glossary to this schedule.

16.1 Accidents, Incidents, and Damage

DEFINED: Activities related to the investigation and resolution of accidents or incidents that occur on agency property or involve agency personnel (including temporary employees, volunteers, and contract employees). Also includes documentation of damage to agency property.

SEE ALSO: For documentation of incidents involving Adult Correction offenders on work release, see LAW ENFORCEMENT. Tort Claims and Workers' Compensation Program Claims are under LEGAL.

RC No.	Record Types	Description	Disposition Instructions	Citation
1611.3+	Accident/Incident Reports SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL)	accident or incident reports involving agency customers (adults)	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10
		accident or incident reports involving agency customers (minors)	RETAIN UNTIL: Minor reaches age of 21 THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10
	 SEE ALSO: Workers' Compensation Program Claims (LEGAL)	accident or incident reports involving agency personnel that do not result in workers' compensation; includes traffic incidents involving State agency vehicles	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 97-92(b) G.S. § 132-1.10
		accident or incident reports that do not result in claims or legal actions	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
1612.2	Lost, Stolen, or Damaged Property Reports	reports of property lost or stolen at agency; includes reports and narratives of vandalism to agency property	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy*	
1612.5		State Bureau of Investigation property incident investigation reports	RETAIN UNTIL: Complete PLUS: 5 years Ω THEN: Destroy*	<u>Authority</u> G.S. § 143B-920

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.2 Emergency Management

DEFINED: Activities coordinating mitigation, preparedness, response, and recovery efforts for emergencies of a short duration as well as disasters inflicting widespread destruction and having long-term consequences for the agency and/or its constituents.

SEE ALSO: Emergency declarations by the Office of the Governor are under GOVERNANCE. Data backups are under INFORMATION TECHNOLOGY. Missing persons records and emergency responder communications records are under LAW ENFORCEMENT. Disaster plans that outside entities are required to file with state agencies are under MONITORING AND COMPLIANCE. Disaster relief allocations are under PUBLIC ASSISTANCE AND SUPPORT SERVICES (unless they are grant-funded, in which case they are under FINANCIAL MANAGEMENT).

RC No.	Record Types	Description	Disposition Instructions	Citation
1621.S 	Agency Disaster Planning SEE ALSO: Records Backup Information (INFORMATION TECHNOLOGY)	records concerning preparedness in the event of a disaster (natural, accidental, or malicious); includes background surveys, studies, reports, and records concerning the process of notifying personnel in the event of an emergency; also includes Continuity of Operations Plans (COOP) and Business Continuity Plans (BCP)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> G.S. § 143B-1331 <u>Confidentiality</u> G.S. § 126-24 G.S. § 132-1.7
1622.1	Alerts SEE ALSO: Missing Persons Records (LAW ENFORCEMENT)	messages of the Emergency Alert System (initiated by the State Emergency Operations Center or the State Highway Patrol) distributed via television, radio, weather radios, and cell phone services; also includes wireless emergency alerts	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
1623.P	Disaster Recovery Records	administrative records documenting major agency disaster recovery efforts and evaluating their efficacy	PERMANENT	
1623.3	(continued on following page)	records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	

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 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

RC No.	Record Types	Description	Disposition Instructions	Citation
1623.A	Disaster Recovery Records (cont.) SEE ALSO: Claims and Support Services (PUBLIC ASSISTANCE AND SUPPORT SERVICES)	records concerning disaster recovery efforts coordinated by the Department of Public Safety; also includes Flood Risk Information System data	PERMANENT (archival) ∞	
1624.P	Forest Fire Incident Records <i>NOTE: Follow federal retention and disposition instructions for fires occurring on federal land.</i>	Forest Service case files for fire investigations	PERMANENT (appraisal required) ∞	
		Forest Service final fire reports	PERMANENT (appraisal required) ∞	
1625.5	Search and Rescue Mission Records	planning and implementation records for search and rescue missions undertaken by the Department of Public Safety	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.

∞ See appendix for list of item numbers for records that should transfer to the State Archives.

Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.3 Hazardous Materials Management

DEFINED: Records documenting agency efforts to prevent and mitigate exposure to hazardous materials.

SEE ALSO: Records concerning training and handling of hazardous materials by agency personnel are under HUMAN RESOURCES.

16.3

RC No.	Record Types	Description	Disposition Instructions	Citation
1631.1	Asbestos Management Plan SEE ALSO: Asbestos Training (HUMAN RESOURCES)	risk assessments, management plans, and abatement/removal records	RETAIN UNTIL: Building is demolished PLUS: 1 year THEN: Destroy <i>NOTE: If building is sold, transfer records to new owner.</i>	<u>Retention</u> 29 CFR 1910.1001(j)(3)(ii)
1632.30	Hazardous Materials Management	records related to hazardous materials, including biowaste	RETAIN UNTIL: Complete PLUS: 30 years Ω THEN: Destroy	
1632.5	SEE ALSO: Asbestos Management Plan (above)	records concerning receipt, maintenance, and disposal of radioactive material	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1632.3		records concerning hazard mitigation plans	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	

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 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
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RC No.	Record Types	Description	Disposition Instructions	Citation
1633.30	Safety Data Sheets	forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency	<p>RETAIN UNTIL: Materials have been disposed of according to manufacturer’s instructions</p> <p>PLUS: 30 years</p> <p>THEN: Destroy</p> <p><i>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></p>	<p><u>Retention</u></p> <p>29 CFR</p> <p>1910.1020(d)(1)(ii)(B)</p>

16.3

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.4 Insurance

DEFINED: Records documenting agency insurance policies for equipment, facilities, and property.

SEE ALSO: Employee insurance and fringe benefit plans are under HUMAN RESOURCES.

16.4

RC No.	Record Types	Description	Disposition Instructions	Citation
1641.1	Certificates of Insurance	records concerning certifications provided by Department of Insurance to state agencies verifying insurance coverage; includes certificates and correspondence <i>NOTE: The specific agency receiving certification is record owner.</i>	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
1642.10	Insurance Policies SEE ALSO: Insurance and Fringe Benefits Plans and Programs (HUMAN RESOURCES)	records concerning automobile and other liability insurance policies purchased by agency; also includes insurance audits, claims reports, surveys, endorsements, and waivers	RETAIN UNTIL: Superseded/Obsolete PLUS: 10 years THEN: Destroy*	
1642.1	<i>NOTE: For any policies acquired by the Department of Administration or the Department of Insurance on behalf of other agencies, the insured agency is record owner.</i>	records concerning property/casualty, State Property Fire Fund, and other property insurance policies purchased by agency; also includes insurance audits, claims reports, surveys, endorsements, and waivers	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy*	
1643.6	Self-Insurer Certifications	records concerning certificates of self-insurance for workers' compensation	RETAIN UNTIL: Termination of policy and settlement of all claims PLUS: 6 years THEN: Destroy*	<u>Authority</u> G.S. § 97-180

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

16.5 Office Safety and Security

DEFINED: Activities concerning the security of agency offices, equipment, facilities, vehicles, and personnel. Includes activities documenting routine inspections of agency equipment, facilities, personnel, and procedures.

SEE ALSO: Building floor plans are under ASSET MANAGEMENT. Records concerning employee requests for reasonable accommodations are under HUMAN RESOURCES; employee-specific certifications and OSHA records are under Personnel Management under HUMAN RESOURCES. Inspections conducted to gauge the compliance of another entity with established regulations and protocols are under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1651.S	Emergency Drills and Equipment Tests	test records for fire suppression equipment, defibrillators, respirator fit, and other emergency equipment; also includes records concerning agency emergency and fire drills	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1652.S	Employee Security Records	records concerning the issuance and return of keys, identification cards, passes, etc., for employees	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1653.S	Fire, Health, and Safety Records	reports, logs, and other related records documenting agency safety measures	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1654.3	Fuel Oil Storage Tank Records	site investigations, reports, corrective actions, repairs, and other related records	RETAIN UNTIL: Permanent tank closure PLUS: 3 years THEN: Destroy	<u>Authority</u> 40 CFR 280.34 <u>Retention</u> 40 CFR 280.74
1655.S	Inspections	health and safety inspections of agency facilities by the Department of Insurance; includes plumbing, electrical, fire, and other systems	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> G.S. § 58-31-40
1656.S	Loss Control Inspection Reports	self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.



RC No.	Record Types	Description	Disposition Instructions	Citation
1657.2	Reasonable Accommodations SEE ALSO: Civil Rights Records (HUMAN RESOURCES)	records concerning agency efforts to provide reasonable accommodation to the general public under Title II of the Americans with Disabilities Act, Title VII of the Civil Rights Act, and the 1973 Rehabilitation Act; includes constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, resolutions, and solutions to access problems	RETAIN UNTIL: Closed PLUS: 2 years THEN: Destroy*	<u>Authority</u> 42 USC 12132
1658.<	Surveillance Recordings SEE ALSO: Correctional Facilities Security Recordings (LAW ENFORCEMENT)	surveillance system reports and recordings of public spaces, public facilities, or public assets; includes fixed and mobile cameras (e.g., drones)	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy* <i>NOTE: If recording becomes evidence in a personnel investigation or litigation, transfer to appropriate unit or authority.</i>	
1659.<	Workplace Security Records	records concerning the security of agency offices, facilities, vehicles, equipment, and personnel; includes visitors' registers and logs tracking access to facilities or resources	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy	
1659.5		records concerning dive logs maintained by the Department of Natural and Cultural Resources that document incidences of decompression sickness	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1659.1		all remaining dive logs maintained by the Department of Natural and Cultural Resources	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.

Records That Will Transfer to the State Records Center

Appendix

1612.5 Lost, Stolen, or Damaged Property Reports: Transfer records to the State Records Center after 2 years. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
State Bureau of Investigation	State Property Incidents Reports File	47459

1623.A Disaster Recovery Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Public Safety	Division of Emergency Management Disaster File	9800
	Division of Emergency Management Disaster Recovery File	48026 
	Division of Emergency Management Federal Emergency Management Agency (FEMA) Region IV File	48021
	Division of Emergency Management Fixed Nuclear Facility Emergency Notification File	37466
	Division of Emergency Management Historical Records File	47961
	Division of Emergency Management Project File	48028 
	Flood Risk Information System File	48425 

1624.P Forest Fire Incident Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Agriculture and Consumer Services	North Carolina Forest Service Fire Reports File	2672

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

 Indicates records are electronic and will transfer immediately to the custody of the State Archives

Glossary

Audit

The Society of American Archivists *Dictionary of Archives Terminology* defines an audit as “an independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures.”¹ The North Carolina Office of the State Auditor defines three types of audits that can be performed for state agencies²:

- Financial Statement Audits that “determine whether an agency’s financial statements are fairly presented”
- Performance/Financial Related Audits that “provide independent and objective appraisals of agency management practices and operational results”
- Information Systems Audits that “evaluate risks relevant to information systems assets and assess controls in place to reduce or mitigate these risks”

Many state agencies also have an internal auditor’s office that is responsible for assessing whether agency employees, units, and business operations are in compliance with applicable federal and state laws and regulations, as well as agency policies and procedures. Some agencies are also responsible for auditing work of external organizations, including consultants and subrecipients. Agencies in receipt of funding from outside sources may be subject to audits to verify the appropriate expenditure of these funds. Audits may be performed on a routine recurring basis; they also may be prompted by concerns reported to the State Auditor’s Hotline.

Historical Value

The term historical value is used interchangeably with archival value. The Society of American Archivists *Glossary of Archival and Records Terminology* defines it as “the importance or usefulness of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or evidential information they contain.”³ Two criteria for determining historical value are inherent interest and extraordinary documentation:

- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
- Extraordinary documentation is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

¹ Society of American Archivists, *Dictionary of Archives Terminology*.

² <https://www.ncauditor.net/pub42/TypesOfAudits.aspx>

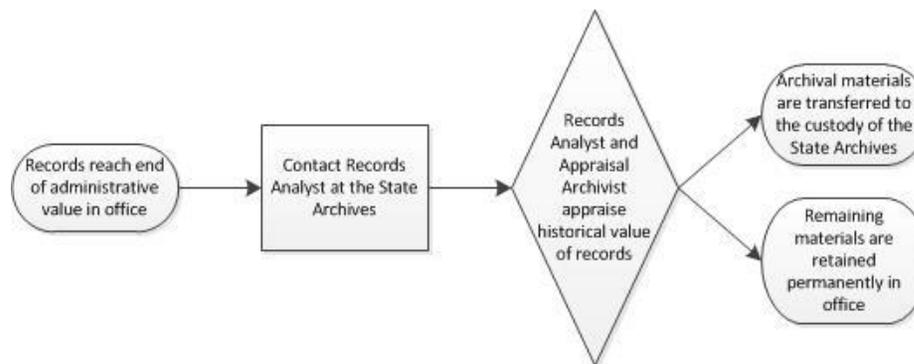
³ *Dictionary of Archives Terminology*

The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- Do they protect the rights and property of constituents and organizations?
- Do they have a long-term impact on constituents and organizations?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency’s policies or initiatives?
- Do they summarize an agency’s activities?

Records with historical value are identified with one of three designations in the Disposition Instructions:

- PERMANENT: These records will be retained in office permanently.
- PERMANENT (appraisal required): When these records no longer have administrative value in office, the agency will contact the Government Records Section so the records can be appraised by a records analyst and an appraisal archivist. These individuals will determine whether the records should be retained in office permanently or transferred to the custody of the State Archives of North Carolina.
- PERMANENT (archival): These records will transfer to the State Records Center so they can be transferred to the custody of the State Archives of North Carolina.



Record Copy

A record copy is defined as “the single copy of a document, often the original, that is designated as the official copy for reference and preservation.”⁴ The record copy is the one whose retention and disposition is mandated by these functional schedules; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to designate clearly what position or office is required to maintain an official record for the duration of its designated retention period. To facilitate this process, SANC has provided a sample file plan for agency use (available on the state agency records management page at

⁴ Ibid.

<https://archives.ncdcr.gov/government/rm-tools>). In identified cases where records overlap between state agencies, SANC has specified on the schedules which agency is considered the record owner.

Record Custody

The agency that creates or receives a record is the legal custodian of that record and responsibility for fulfilling any retention requirements and public records requests. If an agency transfers records to the State Records Center for temporary storage prior to destruction, those records remain in the legal custody of the originating agency. Any records requests must be authorized by the originating agency, and ultimate destruction must also be authorized by that agency. If an agency transfers archival records to the State Records Center, once those records have been accessioned by the State Archives, their legal custody transfers to the State Archives. From that point forward, all records requests should be channeled through the State Archives. In a few instances, records transfer to the State Records Center to be held in permanent security storage (indicated by a © on the functional schedule); in these cases, the records remain in the legal custody of the originating agency.

Reference Value

The disposition instruction to destroy in office when reference value ends is usually applied to records that were not created by the recipient. Reference files include materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency; subject files containing informational copies of records organized by areas of interest; and reference copies of records where another individual or agency is responsible for maintaining the record copy. The agency is given the discretion to determine how long these records should be retained before destruction, and this decision should be documented in a file plan or other policy so that all members of the agency can be consistent in their handling of these records.

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.”⁵ North Carolina has a broad definition of public records. However, 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.” They may be disposed of according to the guidance below. However, all public employees should be familiar with the *Functional Schedule for North Carolina State Agencies* and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. 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.

⁵ Ibid.



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 and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

Drafts and working papers, including notes and calculations, are materials 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 that may be destroyed after final approval include:

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

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, as long as these records are not required for audit or legal purposes. 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.

Key



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

Key

RC No. – a unique identifying number assigned to each record type for ease of reference

Function No.	Sub-function No.	Record Type No.	Retention Abbreviation
15	4	5	A

The example above indicates the numbering scheme for Speeches (1545.A):

- Public Relations is the 15th function
- Marketing and Publicity is the 4th sub-function under Public Relations
- Speeches are the 5th record type under Marketing and Publicity
- Retention abbreviations provide a quick method of identifying the retention requirement for a particular record:

A	transfer to the State Archives
P	retain in office permanently or contact the State Archives for appraisal
R	destroy in office when reference value ends (<i>NOTE: Agencies must establish internal policies to ensure consistency in retention and destructions.</i>)
S	destroy in office when superseded or obsolete
T	transfer completed record to another record series
<	retention period shorter than 1 year
	any numerical designation indicates the number of years the record should be retained

Record Types – groupings of records that are “created, received, or used in the same activity.”¹

Description – a description of the records, 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 (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records

¹ Society of American Archivists, *Dictionary of Archives Terminology*.

Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records. **Note:** No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

This border on the right and left of the Description and Disposition Instruction cells indicates a record that belongs to a particular agency, as identified in the Description. If other agencies possess copies of this record, they are reference copies that can be discarded when their reference value ends.

Key

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).

- CFR = citation from the Code of Federal Regulations
- G.S. = citation from the North Carolina General Statutes
- USC = citation from the United States Code

The Disposition Instructions include a number of triggers that begin the retention period:

- Adoption of plan: With a record such as a strategic plan, the retention period begins as soon as the plan is adopted by the governing body.
- Closed: With a record such as an investigation, the retention period begins once the case is closed.
- Complete: With a record such as a report, the retention period begins once the report has been finalized.
- Execution of plan: With a record such as a business plan, the retention period begins once the plan has been carried out.
- Reference value ends: Once the content of a record is no longer useful or significant, it can be destroyed. This disposition is usually applied to records that were not created by the agency.
- Service ends: With a record relating to an elected or appointed office, the retention period begins once the term of service ends.
- Superseded or Obsolete: With any record that is produced in versions, an older version can be destroyed when the new version is received.

Several symbols are used within the disposition instructions:

- ∞ archival records that should transfer to the State Archives for permanent retention
-  archival records that will transfer to the State Archives in an electronic format
- Ω records that transfer to the State Records Center for temporary storage before destruction
- © records that transfer to the State Records Center for permanent security storage