

1. Agency Management

Agency Management is the overarching management that occurs in all government agencies. Agencies document the process of making decisions for the agency and overseeing its operations.

NOTE: For records of governing and advisory bodies, see GOVERNANCE (other than annual reports, which are captured here under Reporting).

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Appendix: [Records That Will Transfer to the State Records Center](#)

Agency Management records document both routine management of agency operations and the more significant decisions that speak to core functions. The record types contained in this schedule can benefit from organization by both subject and date. Records with relatively short-term value such as Organizational Charts (RC No. 112) and Tracking Materials (RC No. 126) are best organized chronologically. Records with permanent value such as significant reports or policies would benefit from subject-based organization, thereby facilitating quick access. Agencies should separate records documenting the development of final reports, policies, procedures, and plans from the final product in order to allow for earlier destruction of these transitory work products.

Some record types have relatively short-term administrative value. For example, records created to track the receipt of materials in the agency (RC No. 126), should be destroyed in office when their reference value ends. For the sake of consistency, each agency or office should determine and document the period of time that these records hold value. In other instances, record types with relatively short-term value may be constantly evolving or iterative, such as inventories (RC No. 123). These record types may be destroyed in office when they are superseded or obsolete. Other records may have long-term historical value. These record types, such as Agency Histories (RC No. 111), will be retained permanently.

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.

1.1 Establishing Organizational Structure

DEFINED: Activities related to establishing and updating the agency’s organizational structure. These activities relate to the positions and structure of the agency, not the individuals in the positions.

SEE ALSO: Personnel records are under HUMAN RESOURCES. Records about particular agency events are under PUBLIC RELATIONS.

1.1

RC No.	Record Types	Description	Disposition Instructions	Citation
111.P	Agency Histories	records documenting the history or development of an agency or programs within the agency that have historical significance; includes narratives, summaries, scrapbooks, photographs, oral histories, and other related records	PERMANENT (appraisal required) ∞	
111.R	SEE ALSO: Agency Policies (below)	routine records documenting the history or development of an agency or programs within the agency	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	
112.S	Organizational Charts	records depicting agency structure	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
113.P	Structure/Restructuring Records	decision-making records documenting the creation of a new agency or agency mergers/splits	PERMANENT (appraisal required) ∞	
113.R		operational records documenting the creation of a new agency or agency mergers/splits, including internal reorganizations	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	
113.A		records documenting transitions between administrations	PERMANENT (archival) ∞	

* 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.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

1.2 Information Management

DEFINED: Activities concerning the management of information that is collected and/or distributed by the agency. Includes research into an area of interest for use in support of the development of specific projects, standards, and guidelines for the agency.

SEE ALSO: Reports that are produced from aggregated data are under Reporting. Fixed asset inventories are under ASSET MANAGEMENT, as is the documentation of records transfers and destructions maintained by the State Records Center. Employee surveys are under HUMAN RESOURCES. Public records requests, speeches, forms, surveys, and other publicity records are under PUBLIC RELATIONS.

1.2

RC No.	Record Types	Description	Disposition Instructions	Citation
121.S	Collected Data	information and statistics compiled and analyzed for research purposes or to support the agency management function	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<i>NOTE: If data contains confidential information, abide by relevant restrictions</i>
122.S	Contact Lists	lists of people and organizations to whom information is distributed by the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
123.S	Indices and Inventories	records that are used for tracking the existence and location of information within the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
124.P	Records Management Materials	records documenting the final disposition of public records; includes destruction logs and transfer forms	PERMANENT	
124.S	SEE ALSO: Indices and Inventories (above), Public Records Requests (PUBLIC RELATIONS)	records documenting the management of public records; includes approved retention and disposition schedules, file plans, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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RC No.	Record Types	Description	Disposition Instructions	Citation
125.R	Reference Files	materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	
	SEE ALSO: Media File (PUBLIC RELATIONS)	subject files containing informational copies of records organized by areas of interest	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	
		reference copies of records where another individual or agency is responsible for maintaining the record copy	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	
126.R	Tracking Materials	records intended to verify the receipt of information; includes certified mail receipts	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	

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1.3 Operations

DEFINED: Activities related to the execution of routine administrative tasks.

NOTE: For heads of agencies who are appointed, the end of term comes when they resign or are replaced; for heads of agencies who are elected, the end of term comes when they resign or are reelected.

The Capstone project of the State Archives of North Carolina has identified the positions within state agencies that produce archival e-mail correspondence. Refer to your agency's Capstone Addendum or contact your agency's records analyst for the current list of positions.

SEE ALSO: Maintenance records are under ASSET MANAGEMENT. Correspondence for educational facilities is under EDUCATION, correspondence for the Offices of the Governor and Lieutenant Governor and for governing and advisory bodies is under GOVERNANCE, and legal correspondence is under LEGAL. Fiscal records and travel requests are under FINANCIAL MANAGEMENT. Accreditations and directives issued by the agency are under MONITORING AND COMPLIANCE. Publicity records are under PUBLIC RELATIONS. Schedules for the Offices of the Governor and Lieutenant Governor are under GOVERNANCE.

1.3

RC No.	Record Types	Description	Disposition Instructions	Citation
131.5	Accreditation Records SEE ALSO: Authorizing and Licensing (MONITORING AND COMPLIANCE)	records documenting accreditations and certifications received by the agency; includes applications, final reports, and other related records; also includes evaluations of the agency by outside entities	RETAIN UNTIL: Superseded/Obsolete PLUS: 5 years THEN: Destroy	
132.<	Calendars	schedules of the agency head/secretary	RETAIN UNTIL: End of term THEN: Destroy	
132.S	SEE ALSO: Scheduling (GOVERNANCE)	schedules of agency staff and events	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
133.A	Correspondence SEE ALSO: Governing and Advisory Body Correspondence (GOVERNANCE) (continued on following page)	internal and external communications (including e-mail) to and from elected officials, appointed officials, and agency staff who are involved in decision-making, policy development, or other high-level planning for the agency	PERMANENT (archival) ∞	

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

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
133.P	Correspondence (cont.) SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL), E-mail Backups (INFORMATION TECHNOLOGY)	internal and external communications (including e-mail) to and from agency employees whose correspondence has been identified for long-term retention for the purposes of institutional memory and planning; includes correspondence on behalf of an organizational unit	PERMANENT (appraisal required) ∞	
133.5	<i>NOTE: Excludes adjudicatory communications related to court proceedings in the Judicial Branch</i>	internal and external communications (including e-mail) to and from all other agency employees <i>NOTE: Employees are responsible for identifying and retaining any e-mails that are necessary for audit or other long-term retention purposes</i>	RETAIN UNTIL: Received/Sent PLUS: 5 years THEN: Destroy*	<u>Retention</u> EO No. 12 (2013)
133.1		unsolicited correspondence received by the agency that requires no response and is not subject to Executive Order No. 12 (2013)	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	
133.<		outgoing agency mail returned for any reason, including incorrect address, forwarding order expired, etc.	RETAIN UNTIL: Returned PLUS: 30 days THEN: Destroy	
134.S	Information Sharing Materials SEE ALSO: PUBLIC RELATIONS	internal records such as memoranda, newsletters, and bulletins that circulate information within the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
135.S	Logistics Materials SEE ALSO: Travel Requests (FINANCIAL MANAGEMENT)	routine notices, task lists, and arrangements	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

RC No.	Record Types	Description	Disposition Instructions	Citation
136.1	Meeting Materials	minutes and attachments for internal committees or task forces	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
136.S	SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE)	agendas, meeting packets, visual aids, presentations, notes, and audio/visual recordings for internal committees or task forces	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
136.R		agendas, meeting packets, notes, and other related records from meetings attended by agency personnel	RETAIN UNTIL: Reference value ends ± THEN: Destroy Agency Policy: _____	
137.S	Membership Records	records concerning memberships or registrations on behalf of the agency or agency personnel	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy*	
137.A	SEE ALSO: Accounts Payable (FINANCIAL MANAGEMENT)	records concerning organizations with which the Director of the State Bureau of Investigation has been affiliated	PERMANENT (archival) ∞	
138.3	Procedures	documentation of procedures employed within the agency	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy*	
139.3	Project Documentation	records documenting the design, planning, development, control, or monitoring of a specific project or group of projects; includes proposals, schematics, forecasts, feasibility studies, statements of work, assessments, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
139.P	SEE ALSO: Construction Management (INFRASTRUCTURE MANAGEMENT)	records documenting special projects that establish new programs or services for the agency that become ongoing functions and priorities	PERMANENT (appraisal required) ∞	

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

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1.4 Reporting


DEFINED: Activities related to formal responses to situations or requests, including internal, external, and mandatory requests.

NOTE: While the work product that goes into the creation of a report is public record, these drafts and other transitory materials may be destroyed once the report is finalized. The reports listed here include any prepared on behalf of the agency by hired consultants. Agencies must abide by the North Carolina Administrative Code or other regulations that require received reports to be posted to a website (e.g., 10A NCAC 13B .2102).

For Reports Written by the Agency, the archival requirement is met by sending the required copies of the reports to the State Publications Clearinghouse, State Library of North Carolina.

SEE ALSO: Budget reports and other fiscal reporting records are under FINANCIAL MANAGEMENT. Patient medical reports are under HEALTHCARE. Audit Reports as well as reports submitted as part of a monitoring requirement are under MONITORING AND COMPLIANCE.

1.4

RC No.	Record Types	Description	Disposition Instructions	Citation
141.A	Reports Received by the Agency	reports required to be submitted to the General Assembly	PERMANENT (archival) ∞	
141.P 	SEE ALSO: Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)	reports of unmarked human burial and human skeletal remains submitted to the Department of Natural and Cultural Resources	PERMANENT	<u>Confidentiality</u> G.S. § 70-18
141.S		other reports required to be submitted to the agency	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.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

Functional Schedule for North Carolina State Agencies (2025)



1.4

RC No.	Record Types	Description	Disposition Instructions	Citation
142.A	Reports Written by the Agency SEE ALSO: Financial Reports (FINANCIAL MANAGEMENT)	annual and biennial reports	PERMANENT (archival) ∞ -OR- Transfer to State Publications Clearinghouse, State Library of North Carolina: a) <i>Report (printed)</i> : 2 print copies AND an electronic copy, or 10 print copies b) <i>Report (no print run)</i> : 1 electronic copy	<u>Authority</u> G.S. § 125-11.5 through 11.10
		reports prepared at the request of an agency’s governing body or a court	PERMANENT (archival) ∞ -OR- Transfer to State Publications Clearinghouse, State Library of North Carolina: a) <i>Report (printed)</i> : 2 print copies AND an electronic copy, or 10 print copies b) <i>Report (no print run)</i> : 1 electronic copy	<u>Authority</u> G.S. § 125-11.5 through 11.10
		prison labor reports from the Department of Transportation	PERMANENT (archival) ∞	
142.3		monthly, bimonthly, quarterly, or semi-annual reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
142.1		daily or periodic activity reports concerning workload measurements, time studies, productivity, services rendered, or other similar records	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.

± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

1.5 Strategic Management

DEFINED: Activities related to systematic planning for the agency.

SEE ALSO: Records for governing and advisory bodies are under GOVERNANCE. HIPAA policies are under HEALTHCARE. Affirmative action plans and personnel policies are under HUMAN RESOURCES. Workforce strategic plans overseen by the Department of Commerce are under PUBLIC ASSISTANCE AND SUPPORT SERVICES. Records concerning disaster and emergency management plans are under RISK MANAGEMENT.

1.5

RC No.	Record Types	Description	Disposition Instructions	Citation
151.P	Agency Policies	agency policies that have state-wide significance	PERMANENT (appraisal required) ∞	
	SEE ALSO: HIPAA Policies (HEALTHCARE), Personnel Administrative Records (HUMAN RESOURCES), Electronic Records Policies (INFORMATION TECHNOLOGY)	policies that are agency-specific	PERMANENT	
152.2	Business Plans	plans for managing the agency's units, projects, workforce, etc.; includes timelines, benchmarks, responsibilities, and routine work instructions	RETAIN UNTIL: Execution of plan PLUS: 2 years THEN: Destroy	
153.S	Goals and Mission Statements	high level definitions of priorities for the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
154.P	Strategic Plans	long-term plans intended to carry out the agency's core functions	PERMANENT (appraisal required) ∞	
154.5		records concerning the development of strategic plans	RETAIN UNTIL: Adoption of plan 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.

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Records That Will Transfer to the State Records Center

111.P Agency Histories: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Administration, Department of	NC Council for Women Historical File	49233
Agriculture and Consumer Services, Department of	NC Forest Service History File	2684
	Soil and Water Conservation Division History File	17282
Health and Human Services, Department of	Historical Data Concerning State Operated Healthcare Facilities File	38578
Information Technology, Department of	Center for Geographic Information and Analysis Historical File	17212
	North Carolina Geographic Information Coordinating Council (GICC) History File	36010
Lottery Commission, North Carolina State	History File	47602
Natural and Cultural Resources, Department of	Capitol Historian Research File	22827
Public Safety, Department of	Juvenile Justice Program Services Division Historical File	49680
	Secretary's Office Historical File	49345
Treasurer, Department of State	Departmental History File	16241

133.A Archival Correspondence: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Administration, Department of	Commission of Indian Affairs Executive Director's Correspondence File	70
	Secretary's Correspondence File	5
Administrative Hearings, Office of	Director's Correspondence File	18608
	Human Relations Commission Director's Correspondence File	47
Administrative Office of the Courts	Director's Correspondence File	2308
Agriculture and Consumer Services, Department of	Commissioner's Correspondence File	221
Auditor, Office of the State	State Auditor's Correspondence File	47653
Budget and Management, Office of State	Director's Correspondence File	1531
Controller, Office of the State	State Controller's Correspondence File	44633
Commerce, Department of	Secretary's Correspondence File	299

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.

An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.

Agency	Series Title	Item Number
Community College System, North Carolina	President’s Correspondence File	584
Environmental Quality, Department of	Secretary’s Correspondence File	2478
Health and Human Services, Department of	Secretary’s Correspondence File	1573
Housing Finance Agency, North Carolina	Director’s Correspondence File	19596
Human Resources, Office of State	Director’s Correspondence File	165
Information Technology, Department of	Secretary’s Correspondence File	47357
Insurance, Department of	Commissioner’s Correspondence File	11620
Investigation, State Bureau of	Director’s Correspondence File	16574
Justice, Department of	Attorney General’s Correspondence File	2344
Labor, Department of	Commissioner’s Correspondence File	50824
Military and Veterans Affairs, Department of	Secretary’s Correspondence File	179
Natural and Cultural Resources, Department of	Secretary’s Correspondence File	750
Public Instruction, Department of	State Superintendent’s Correspondence File	33435
Public Safety, Department of	NC Alcoholic Beverage Control Commission Chairman’s Correspondence File	314
	Secretary’s Correspondence File	50821
Revenue, Department of	Secretary’s Correspondence File	2755
Secretary of State, Department of the	Secretary’s Correspondence File	2914
Investigation, State Bureau of	Director’s Correspondence File	16574
Transportation, Department of	Secretary’s Correspondence File	2927
Treasurer, Department of State	State Treasurer’s Correspondence File	16271

133.P Long-Term Correspondence (by position): Records will be maintained permanently in office, during which time the records will be appraised for possible transfer to the Archives.

Agency	Series Title	Item Number
Administrative Office of the Courts	Assistant Director’s Correspondence File	2313
	Guardian ad Litem Administrator’s Correspondence File	40560
	Research and Planning Division Director’s Correspondence File	10572

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Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of	Division of Marketing Director’s Correspondence File	3512
	Meat and Poultry Inspection Division Director’s Correspondence File	47450
	Plant Industry Division Director’s Correspondence File	35561
Commerce, Department of	Assistant Secretary of Workforce Solutions Correspondence File	27104
Environmental Quality, Department of	Environmental Management Director’s Correspondence File	31344
Fire Marshal, Office of State	Office of State Fire Marshal Senior Deputy Commissioner’s Correspondence File	11877
Health and Human Services, Department of	Division of Medical Assistance Deputy Director’s Correspondence File	33273
	Division of Medical Assistance Director’s Correspondence File	1853
Information Technology, Department of	Center for Geographic Information and Analysis Director’s Correspondence File	36031
	Customer and Public Relationship Director’s Correspondence File	47439
	Deputy State Chief Information Officer’s Correspondence File	47358
	Information Security Manager’s Correspondence File	47322
Insurance, Department of	Assistant Commissioner’s Correspondence File	11870
	Chief Deputy Commissioner’s Correspondence File	41769
	Chief Information Officer’s Correspondence File	50601
	Life and Health Insurance Division Commissioner’s Correspondence File	35341
Investigation, State Bureau of	Assistant Director of Field Operations (East) Correspondence File	50443
	Assistant Director of Field Operations (West) Correspondence File	50470
	Assistant Director of Professional Standards Correspondence File	50471
	Deputy Director’s Correspondence File	50473
Labor, Department of	Director of Administration and Governmental Affairs Correspondence File	50126
Lottery Commission, North Carolina State	Executive Director’s Correspondence File	47590
Natural and Cultural Resources, Department of	Chief Deputy Secretary’s Correspondence File	760
	Communications Director’s File	2096
	Division of Aquariums Director’s Correspondence File	36705
	Division of Archives and Records Director’s Correspondence File	3989
	North Carolina Museum of Art Director’s Correspondence File	858
	North Carolina Museum of Natural Sciences Director’s Correspondence File	212
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Appendix

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.

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Appendix

Agency	Series Title	Item Number
Natural and Cultural Resources, Department of (cont.)	North Carolina Zoological Park Curator’s General Correspondence File	23677
	State History Museum Director’s Correspondence File	23068
	State Librarian’s Correspondence File	8911
	State Parks Director’s Correspondence File	3406
	Tryon Palace Historic Sites and Gardens Administrator’s Correspondence File	26566
Public Instruction, Department of	Division of Fiscal Control Services Director’s Correspondence File	20474
	Division of Human Resource Management Director’s Correspondence File	33218
	Division of School Facility Services Director’s Correspondence File	35389
Public Safety, Department of	Branch Head of Alcohol Law Enforcement Correspondence File	50472
Revenue, Department of	Assistant Commissioner’s and Deputy Secretaries’ Correspondence File	2756
Secretary of State, Department of the	Business Registration Division Director’s Correspondence File	48167
	Certification and Filing Division Director’s Correspondence File	50844
	Charitable Solicitation Licensing Director’s Correspondence File	50842
	Chief Deputy Secretary Correspondence File	50442
	Deputy Securities Administrator’s Correspondence File	50841
	Electronic Notarization and Notary Enforcement Director’s Correspondence File	50845
	Land Records Manager’s Correspondence File	50843
	Trademarks Registration Office Registrar’s Correspondence File	50846
Transportation, Department of	Chief Deputy Secretary’s Correspondence File	21875
	Chief Engineer’s Correspondence File	4119
	Division of Aviation Director’s Correspondence File	16374
	Division of Motor Vehicles Commissioner’s Correspondence File	3156
Treasurer, Department of State	Board Liaison	50879
	Chief Financial Officer/Deputy Treasurer	50880
	Chief Information Officer/Deputy Treasurer	50881
	Chief of Staff/Chief Deputy Treasurer	50882
	Compliance Consultant	50883
	Co-Chief Investment Officer	50884
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Agency	Series Title	Item Number
Treasurer, Department of State (cont.)	Deputy Director, Supplemental Retirement Plans	50885
	Deputy Treasurer Communications/Government Affairs	50886
	Deputy Treasurer, Unclaimed Property Division	50887
	Director, State and Local Government Division	50888
	Executive Administrator, State Health Plan	20796
	Executive Assistant	50889
	Executive Director, Retirement Systems Division	50890
	General Counsel	50891
	Human Resources Director	50892
	Legislative Liaison	50893
	Policy Development Analyst/Legislative Analyst	50894
	Policy Director, Retirement Systems Division	50895
Wildlife Resources Commission	Executive Director’s Correspondence File	2742

133.P Long-Term Correspondence (by entity): Records will be maintained permanently in office, during which time the records will be appraised for possible transfer to the Archives.

Agency	Series Title	Item Number
Administrative Office of the Courts	Guardian ad Litem Agency, Institutional, and Organizational Correspondence File	40561
	Office of Counsel Correspondence and Memoranda File	2315
Agriculture and Consumer Services, Department of	Agriculture Cost-Share Program Correspondence File	17302
	Agriculture Research Stations and State Farm Operations Division Correspondence File	9268
	Plant Protection Section Correspondence File	9125
	Veterinary Division Office Correspondence File	8976
Commerce, Department of	Rural Electrification Authority Correspondence File	525
Environmental Quality, Department of	Division of Forest Resources Correspondence File	2508
	Division of Soil and Water Conservation Correspondence File	17842
	Division of Water Quality Correspondence File	2602

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Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Ethics Commission, North Carolina State	Correspondence File	3889
Health and Human Services, Department of	Division of Medical Assistance Control Correspondence File	4075
	Health Care Financing Administration Correspondence File	33274
	Radiation Protection Other States' Agencies Correspondence File	7575
Insurance, Department of	North Carolina Building Code Council Correspondence File	3738
Natural and Cultural Resources, Department of	Historical Publications Administrative Correspondence File	18974
	Historical Research Branch General Correspondence File	13974
	North Carolina Museum of Art Correspondence File	18855
	North Carolina Museum of Art Organizational Correspondence File	859
	Office of Archives and History Administrative Correspondence File	13037
	Office of State Archaeology Correspondence File	818
	State Historic Preservation Office Administrative Correspondence File	808
	State Historic Sites Correspondence File	29274
Public Instruction, Department of	North Carolina Professional Teaching Standards Commission Correspondence File	30593
	Teacher Education Section Initial Certification Program Correspondence File	29688
Secretary of State, Department of the	Advance Health Care Directives Section Correspondence File	50854
	Authentications Section Correspondence File	50853
	Certification and Filing Division Correspondence File	50850
	Charitable Solicitation Licensing Division Correspondence File	50848
	Electronic Notarization and Notary Enforcement Division Correspondence File	50851
	Land Records Section Correspondence File	50849
	Notary Public Division Correspondence File	17110
	Securities Division Correspondence File	50847
Trademarks Registration Office Correspondence File	50852	
Sentencing and Policy Advisory Commission, NC	Correspondence File	39223
Treasurer, Department of State	Actuary Correspondence File	16277

Appendix

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An index or box inventory should accompany any records that transfer to the State Records Center for temporary storage or for eventual transfer to the custody of the Archives.



137.A Membership 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
Investigation, State Bureau of	State Bureau of Investigation Committees, Commissions, and Associations File	16575

139.P Project Documentation: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Administration, Department of	Commission of Indian Affairs Project File	73
Information Technology, Department of	Administrative Services Agency File	47369
	Administrative Services Projects File	47359
Natural and Cultural Resources, Department of	Capital Improvement Projects File	3428
	Office of Archives and History Special Projects File	13063
	State Agency Oral History Interviews	50878
	State Capitol Projects File	22838

141.A Reports Received by the Agency: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
General Assembly	State Agency Reports to the General Assembly	48284

142.A Reports Written by the Agency: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Acupuncture Licensing Board, North Carolina	Reports File	50132
Addictions Specialist Professional Practice Board, North Carolina	Reports File	50299
Administrative Hearings, Office of	Human Relations Commission Reports File	57
Administrative Office of the Courts	Guardian ad Litem Division Statistical Reports File	40585

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Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Adult Correction, Department of	Adult Corrections Reports File	10172
	Community Corrections Statistical Reports File	36302
Agriculture and Consumer Services, Department of	North Carolina Forest Service Federal Reports File	2702
	North Carolina Forest Service State Reports File	24231
Appraisal Board, North Carolina	Reports File	50136
Architecture and Registered Interior Designers, North Carolina Board of	Reports File	50143
Athletic Trainer Examiners, North Carolina Board of	Reports File	50160
Auctioneers Commission, North Carolina	Reports File	50303
Barber and Electrolysis Examiners, North Carolina Board of	Reports File	50911
Cemetery Commission, North Carolina	Reports File	50301
Certified Public Accountant Examiners, North Carolina State Board of	Annual Reports	21059
Chiropractic Examiners, North Carolina State Board of	Reports File	28878
Commerce, Department of	Rural Manpower Reports File	12073
Cosmetic Art Examiners, North Carolina Board of	Annual Reports File	17476
Counselors, North Carolina Board of Licensed Clinical Mental Health	Reports File	50193
Dental Examiners, North Carolina State Board of	Governor’s Reports File	45729
Dietetics/Nutrition, North Carolina Board of	Reports File	50195
Economic Development Partnership of North Carolina	Annual Reports File	14885
Electrical Contractors, State Board of Examiners of	Reports File	50196
Engineers and Surveyors, North Carolina State Board of Examiners for	Reports File	50220

Appendix

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Functional Schedule for North Carolina State Agencies (2025)



Appendix

Agency	Series Title	Item Number
Environmental Health Specialist Examiners, North Carolina State Board of	Annual Reports File	20094
Environmental Quality, Department of	Groundwater Section Reports File	17386
Foresters, North Carolina State Board of Registration for	Reports File	50221
Funeral Service, North Carolina Board of	Reports File	21850
General Contractors, North Carolina Licensing Board for	Annual Reports File	28752
Geologists, North Carolina Board for Licensing of	Annual Reports File	26950
Hearing Aid Dealers and Fitters Board, North Carolina	Reports File	50251
Interpreter and Transliterator Licensing Board, North Carolina	Reports File	50252
Insurance, Department of	Managed Care and Health Benefits Division Annual Reports File	43699
Irrigation Contractors' Licensing Board, North Carolina	Reports File	50283
Labor, Department of	Occupational Safety and Health Annual Comparisons Reports File	35269
	Occupational Safety and Health Fatality Reports File	35277
Landscape Architects, North Carolina Board of	Reports File	21116
Landscape Contractors' Licensing Board, North Carolina	Reports File	21978
Law Examiners of the State of North Carolina, Board of	Reports File	20181
Locksmith Licensing Board, North Carolina	Reports File	50284
Lottery Commission, North Carolina State	Reports File	47591
Marriage and Family Therapy Licensing Board, North Carolina	Reports File	50285



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Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Massage and Bodywork Therapy, North Carolina Board of	Reports File	50287
Medical Board, North Carolina	Administrative Reports File	20111
Military and Veterans Affairs, Department of	Statistical File	180
Natural and Cultural Resources, Department of	Historical Research Reports File	13977
	North Carolina Historical Commission Reports File	13030
	Office of Archives and History Reports File	794
	State Historic Sites Reports File	22894
	Statistics and Directory of NC Public Libraries	17772
	USS North Carolina Battleship Commission Director's Reports File	3834
Nursing Home Administrators, North Carolina Board of Examiners for	Reports File	50288
Occupational Therapy, North Carolina Board of	Reports File	50289
On-Site Wastewater Contractors and Inspectors Certification Board, North Carolina	Reports File	50290
Opticians, North Carolina State Board of	Reports File	28363
Optometry, North Carolina State Board of Examiners in	Reports File	29013
Pastoral Counselors, North Carolina State Board of Examiners of Fee-Based Practicing	Reports File	50291
Physical Therapy Examiners, North Carolina Board of	Reports File	21993
Plumbing, Heating, and Fire Sprinkler Contractors, State Board of Examiners of	Reports File	50292
Podiatry Examiners, North Carolina Board of	Reports File	50293
Psychology Board, North Carolina	Reports File	17046

Appendix

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Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Public Instruction, Department of	Governor’s School Annual Reports File	1454
	North Carolina Professional Educator Preparation and Standards Commission Reports File	47011
Public Safety, Department of	Division of Emergency Management Annual Operations Reports File	37455
	Division of Emergency Management Hazard Mitigation Program Status and Financial Reports File	37155
Real Estate Commission, North Carolina	Reports File	50294
Recreational Therapy Licensure, North Carolina Board of	Reports File	50295
Refrigeration Contractors, North Carolina State Board of	Reports File	50296
Revenue, Department of	Secretary of Revenue Reports File	2752
Social Work Certification and Licensure Board, North Carolina	Reports File	31172
Soil Scientists, North Carolina Board for Licensing of	Reports File	50297
Speech Language Pathologists and Audiologists, North Carolina Board of Examiners for	Reports File	50298
Transportation, Department of	State Maintenance Branch Prison Labor Reports File	3135
Treasurer, Department of State	Deputy Treasurer’s Reports File	16272
	Retirement Systems Divisional Reports File	16279
	Treasurer’s Reports File	50832
Veterinary Medical Board, North Carolina	Reports File	50300

Appendix

151.P Agency Policies: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of	NC Forest Service Forest Management Policies File	2679

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.

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Agency	Series Title	Item Number
Elections, North Carolina State Board of	Administrative File	21076
Housing Finance Agency, North Carolina	Housing Partnership Board Policies File	19644
Information Technology, Department of	Center for Geographic Information and Analysis Policies, Procedures, and Regulations File	36003
	Enterprise Technology Policies Guidelines and Standards	48058
Labor, Department of	Division of Occupational Safety and Health Policies File	35298
Natural and Cultural Resources, Department of	Archival Electronic Records Guidelines, Policies, and Procedures File	47793
	Digital Services Policies and Guidelines File	50405
Revenue, Department of	Corporate, Excise and Insurance Tax Division Policies File	48976
Human Resources, Office of State	Directives File	28213
Treasurer, Department of State	Financial Operations Division Policies File	49343
	Investment Management Division Policies File	48231
	Retirement Systems Division Policies File	48646
	State and Local Government Finance Division Policies File	48571

154.P Strategic Plans: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Commerce, Department of	NCWorks Commission Strategic Plan File	49469
Community College System, North Carolina	Long-Range Plans File	20406
Information Technology, Department of	Biennial State Information Technology Plan File	47361
	Business Plan File	47367
Natural and Cultural Resources, Department of	Systems Development File	50408
Transportation, Department of	Transportation Planning File	23466

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.

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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:

Glossary

- 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.auditor.nc.gov/auditsreviews/types-audits>

³ *Dictionary of Archives Terminology*

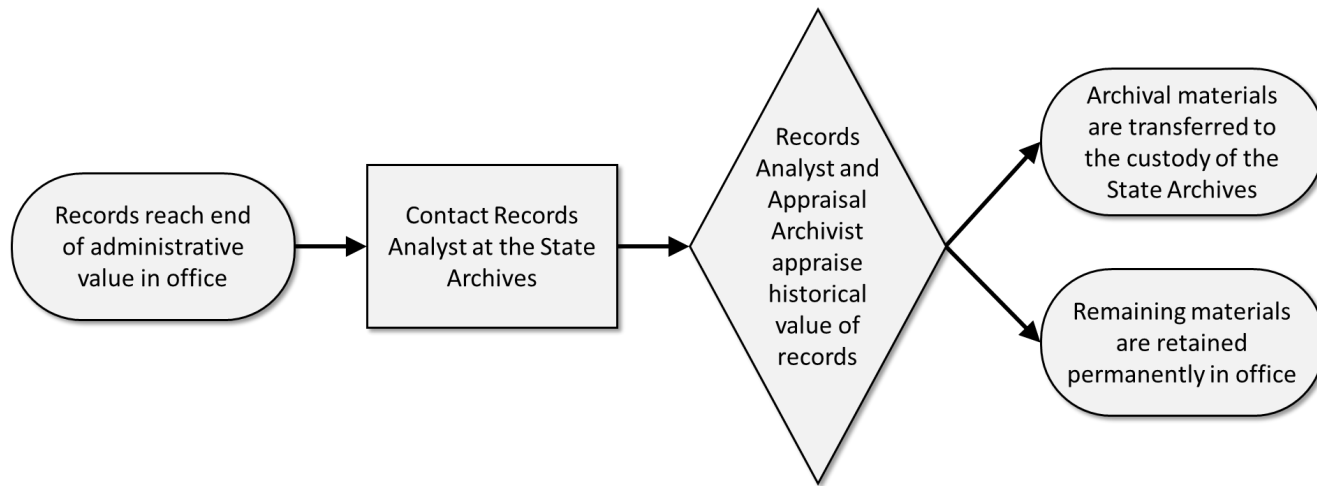
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- 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?

Glossary

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 <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 responsible 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.

⁴ Ibid.

Transitory Records

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.

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

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 shall 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. A number followed by a + indicates a retention period that extends less than 12 months beyond the specified number of years

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

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

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 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.

Key

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.

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
- 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

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
- NCAC = citation from the North Carolina Administrative Code
- USC = citation from the United States Code