

2. Asset Management

The Asset Management function encompasses acquisition, maintenance, inventory, and disposal of physical assets. Agencies document the management of physical assets, including facilities, land, equipment, vehicles, etc.

NOTE: For financial assets, see FINANCIAL MANAGEMENT. For personnel records, see HUMAN RESOURCES. For data assets, see INFORMATION TECHNOLOGY. Titles, deeds, leases, contracts, and other agreements are under LEGAL.

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Many Asset Management records are retained for the life of the asset, so it is important to institute good recordkeeping practices that can be sustained long-term, whether these records are maintained on paper or electronically. Other records have a relatively short retention required after the completion of the work, such as maintenance requests, which can be destroyed after 1 year. These sorts of records are likely best organized chronologically based on the trigger event. For example, if work orders (RC No. 222.1) are filed by year, at the beginning of 2018 all 2016 work orders can be destroyed. There are also some records on this schedule that are of an iterative nature and, therefore, necessary to retain only until superseded or obsolete. Examples include

fixed asset inventories (RC No. 224.S). Many Asset Management records will be retained and destroyed in office, but there are some records that are retained permanently in office, such as Accession Records (RC No. 211), and there are also some archival records.

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.

2.1 Natural and Cultural Resource Management


DEFINED: Activities related to the management of natural and cultural resources owned by the State, including libraries, museums, zoos, aquariums, historic sites, forests, parks, trails, and the State Archives.

SEE ALSO: Authentications and certifications of animals, artifacts, and collections are under LEGAL, as are permissions to publish text or images from agency collections. Exhibits, presentations, and visitor/researcher information are under PUBLIC RELATIONS. Records management materials for individual agencies are under AGENCY MANAGEMENT. Websites and social media for individual agencies are under PUBLIC RELATIONS.

2.1

RC No.	Record Types	Disposition Instructions	Citation
211.P	<p>Accession Records</p> <p>Records concerning objects, artifacts, and collections acquired or declined by the agency along with documentation regarding loans to the agency; includes deeds of gift, donor correspondence, access restrictions, deaccession information, metadata, and other related records</p>	PERMANENT	
212.P	<p>Collections Management Records</p> <p>Records concerning conservation assessments and treatments of objects, artifacts, and documents; also includes restorations of historic sites and all animal and veterinary records</p>	PERMANENT	
213.P	<p>Finding Aids – Department of Natural and Cultural Resources</p> <p>Indices and other information compiled to facilitate the discovery of information within collections of the Department of Natural and Cultural Resources</p>	PERMANENT	
214.P	<p>Historical Marker Records – Department of Natural and Cultural Resources</p> <p>Records concerning each historical highway marker approved by the Department of Natural and Cultural Resources; includes site description, inscription, and photograph</p>	PERMANENT	

* 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.
 © See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Disposition Instructions	Citation
215.1 	Library Catalog Records (1 of 2) Integrated library system (ILS) as well as other catalogs; includes patron information and circulation data	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 125-19
215.S	Library Catalog Records (2 of 2) Includes bibliographic data, shelf lists, interlibrary loan data, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
216.P	Loan Records (1 of 2) Records related to artifacts and collections borrowed from the agency; includes inventories, agreements, conservation assessments, transfer receipt forms, and other related records	PERMANENT	
216.S	Loan Records (2 of 2) Facilities reports from borrowing institutions	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
217.A-1	Protections Records (1 of 3) Records concerning endangered species, protections against invasive species, grounds granted for oyster beds, natural and scenic rivers, and Natural Heritage areas	PERMANENT (archival) ∞	<u>Retention</u> G.S. § 121-8(b)
217.A-2	Protections Records (2 of 3) – Department of Natural and Cultural Resources a) Significant statewide inventories of biological, natural, and ecological resources, conducted by the State Parks; includes quadrangle maps, field reports, site descriptions, surveys, and other related records b) Records of the Department of Natural and Cultural Resources concerning the North Carolina Register of Historic Places and the National Register of Historic Places; includes photographs	PERMANENT (archival) ∞	

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RC No.	Record Types	Disposition Instructions	Citation
217.P	<p>Protections Records (3 of 3) – Department of Natural and Cultural Resources</p> <p>Records of the Department of Natural and Cultural Resources concerning the North Carolina Register of Historic Places and the National Register of Historic Places; includes nominations, maps, site forms, property surveys, correspondence, and other related records</p>	PERMANENT (appraisal required) ∞	
218.A	<p>Records Management Documentation (1 of 2) – Department of Natural and Cultural Resources</p> <p>Retention and disposition schedules written by the State Archives</p> <p>SEE ALSO: Records Management Materials (AGENCY MANAGEMENT)</p>	PERMANENT (archival) ∞	
218.P	<p>Records Management Documentation (2 of 2) – Department of Natural and Cultural Resources</p> <ul style="list-style-type: none"> a) Official guidance and directives provided by the State Archives to state and local government agencies. Includes destructions authorizations, disaster response guidance, consultation reports, and other related records b) Turnover file documenting the transfer, storage, and disposition actions taken concerning inactive state agency records transferred to the State Records Center c) Records concerning the development or amendment of retention schedules for local and state agencies, universities, licensing boards, and independent commissions 	PERMANENT ©	

2.1

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2.2 Property, Facility, Equipment, and Supplies Management



DEFINED: Activities related to the oversight of supplies, fixed assets, and capital assets necessary for the functioning of State government agencies. Includes fixed asset management, buildings and grounds maintenance, and space planning and allocation along with the acquisition, maintenance, and disposal of supplies and equipment.

SEE ALSO: Reports are under AGENCY MANAGEMENT. Fee and rate schedules, purchase orders, and tax returns are under FINANCIAL MANAGEMENT. As-built drawings for buildings overseen by the Department of Administration, along with surveys, maps, and road/rail maintenance records are under INFRASTRUCTURE MANAGEMENT. Titles, deeds, leases, contracts, and other agreements are under LEGAL. Environmental monitoring of locations outside agency facilities as well as permits for recreational and other activities are under MONITORING AND COMPLIANCE. Office security, stolen/damaged property reports, disaster planning and recovery, asbestos management plans, and insurance records are under RISK MANAGEMENT.

NOTE: Pursuant to 2 CFR 200.334(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition of the property/equipment. See also Grants Management on the FINANCIAL MANAGEMENT schedule.

RC No.	Record Types	Disposition Instructions	Citation
221.T	<p>Aircraft Logbooks</p> <p>Records concerning maintenance of airplanes; includes schedule of maintenance, documentation on parts ordered, maintenance agreements and warranties, record of repairs performed, and other related records required by the Federal Aviation Administration</p>	<p>RETAIN UNTIL: Ownership of aircraft changes</p> <p>THEN: Transfer to new owner</p>	<p><u>Authority/Retention</u></p> <p>14 CFR 43</p> <p>14 CFR 91</p>
222.3	<p>Facility Management Records (1 of 4)</p> <p>System repair and improvement records (including plumbing, electrical, fire, and other systems)</p> <p>SEE ALSO: Infrastructure Maintenance Records (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	

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RC No.	Record Types	Disposition Instructions	Citation
222.1-1 	<p>Facility Management Records (2 of 4)</p> <p>As-built drawings, updated as necessary for renovations or additions</p> <p>SEE ALSO: IT Assistance Records (INFORMATION TECHNOLOGY), As-Built Drawings (INFRASTRUCTURE MANAGEMENT), Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: building is renovated or demolished</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p> <p><i>NOTE: If building is sold, transfer records to new owner</i></p>	<p><u>Confidentiality</u></p> <p>G.S. § 132.1-7</p>
222.1-2	<p>Facility Management Records (3 of 4)</p> <p>a) Environmental monitoring records within agency facilities</p> <p>b) Routine janitorial cleaning and maintenance records for properties, facilities, vehicles, and other equipment; includes work/repair orders and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
222.S 	<p>Facility Management Records (4 of 4)</p> <p>Blueprints, floorplans, drawings, and other preliminary design and construction documents</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132.1-7</p>
223.A	<p>Ferry Plans – Department of Transportation</p> <p>Building plans and specifications for each ferry operated by the Department of Transportation</p>	<p>PERMANENT (archival) ∞</p>	
224.3	<p>Inventory Management Records (1 of 2)</p> <p>Inventory control and usage records; includes records that track the movement of inventory, such as requisitions/draw tickets, along with mileage logs, request forms, and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	

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

RC No.	Record Types	Disposition Instructions	Citation
224.S	<p>Inventory Management Records (2 of 2)</p> <p>a) Lists of properties, facilities, fixed assets, supplies, and surplus property</p> <p>b) Operating manuals, specifications, and warranties</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
225.3	<p>Permits</p> <p>Records conferring permission to use State property or facilities (including timber harvests); includes applications, permits, and other related records</p> <p>SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
226.3	<p>Property Management Records (1 of 3)</p> <p>Management plans for state farms, forests, and parks; includes wildfires, use of pesticides, etc. and other related records</p> <p>SEE ALSO: Damaged Property Reports (RISK MANAGEMENT), Surveys and Maps (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
226.S	<p>Property Management Records (2 of 3)</p> <p>a) Appraisals of the financial valuation of State-owned property and surveys of and geographical data collected about State-owned property</p> <p>b) Plats and maps of State-owned property; also includes GIS data</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
226.A	<p>Property Management Records (3 of 3) – Department of Military and Veterans Affairs</p> <p>Records of burial information at cemeteries operated by the Department of Military and Veterans Affairs</p>	<p>PERMANENT (archival) ∞</p>	
227.S	<p>Vehicle Registration Records</p> <p>Registration documents for all State-owned vehicles</p> <p>SEE ALSO: Vehicle Titles (LEGAL)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	

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



Records That Will Transfer to the State Records Center

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.

Appendix

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.

217.A Protections 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
Agriculture and Consumer Services, Department of	Endangered Plants File	9127
Agriculture and Consumer Services, Department of	Spongy Moth File	9131
Natural and Cultural Resources, Department of	Historic Structures Photographic Negatives File	36340
Natural and Cultural Resources, Department of	State Parks Geographic Manuals and Element Classifications File	35206
Natural and Cultural Resources, Department of	State Parks Managed and Protected Natural Areas File	35208
Wildlife Resources Commission, North Carolina	Rare and Endangered Species File	20654

217.P Protections 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
Natural and Cultural Resources, Department of	Property Survey File	3551

218.A Records Management 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
Natural and Cultural Resources, Department of	Superseded Records Retention and Disposition Schedules File	3919



218.P Records Management Documentation: Transfer to the State Records Center when reference value ends for permanent security storage.

Agency	Series Title	Item Number
Natural and Cultural Resources, Department of	Local Agency Program File	3915
Natural and Cultural Resources, Department of	Local Schedule Development File	39089
Natural and Cultural Resources, Department of	Records Reference Requests File	23648
Natural and Cultural Resources, Department of	Records Turnover File	23649
Natural and Cultural Resources, Department of	State Agency and University Schedule Development File	23960
Natural and Cultural Resources, Department of	State Agency Program File	3802
Natural and Cultural Resources, Department of	University Program File	23629

Appendix

223.A Ferry 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
Transportation, Department of	Ferry Plans and Specifications File	26066

226.A Property Management 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
Military and Veterans Affairs, Department of	Veterans Cemeteries File	50825

