

Functional Schedule for North Carolina State Agencies

Functional Schedules

In 2015, the Records Analysis Unit of the Government Records Section at the State Archives of North Carolina (SANC) began a project to revamp the retention and disposition schedules for state agencies in North Carolina. Using the technique of functional analysis, whereby the functions of an institution are defined and the records that document these functions are linked, SANC identified 16 functions of North Carolina state government, listed the associated record types, and developed disposition instructions:

- Agency Management
- Asset Management
- Economic Development
- Education
- Financial Management
- Governance
- Healthcare
- Human Resources
- Information Technology
- Infrastructure Management
- Law Enforcement
- Legal
- Monitoring and Compliance
- Public Assistance and Support Services
- Public Relations
- Risk Management

The overarching goals of the project were to simplify records retention, make the assignment of records dispositions more transparent, and ensure the retention of records with permanent value, either within the creating agency or at the State Archives, which is housed within the Department of Natural and Cultural Resources (DNCR). These functional schedules standardize disposition instructions across State government and focus on the function of government that necessitates the creation of a record rather than on the particular agency that creates or maintains the record. Therefore, users do not need to find relevant record types based on agency hierarchy but instead can identify record types relevant to the particular function of government they perform. In addition, if the responsibilities of an agency change over time, the appropriate retention and disposition instructions for the records they generate will already be identified within one of the 16 functional schedules developed by SANC, increasing both efficiency and consistency in records management. Realizing that an increasing share of state agency records are being created and maintained electronically, SANC also attempted to group records with similar functions in “big buckets” to facilitate the appropriate disposition of these records that are housed in document management systems.

The Records Analysis Unit will conduct annual records reviews with State agencies and document any changes in agency responsibilities. G.S. § 121-5(b) and G.S. § 132-3(a) grant the Department of Natural and Cultural Resources the authority to regulate the destruction of public records, and the disposition instructions reflect best practice in records management. In the absence of specific state or federal retention requirements, SANC surveyed other records management experts for guidance on the retention of records. The retention periods established in these functional schedules should be interpreted as minimums. If an agency chooses to retain records longer than required in the disposition instructions, this practice should be documented in internal agency procedures. In all cases, agencies shall maintain logs documenting destructions. The presence of a records series on one of these schedules does not obligate an agency to create that record; however, if a record is **not** represented on any of these schedules, an agency may not destroy it without explicit authorization from DNCR.

Public Records and Requests

According to G.S. § 132-1(a):

"Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions.

G.S. § 132-1(b) goes on to specify:

The public records and public information compiled by the agencies of North Carolina government or its subdivisions are the property of the people. Therefore, it is the policy of this State that the people may obtain copies of their public records and public information free or at minimal cost unless otherwise specifically provided by law.

And G.S. § 132-6(a) further elaborates on the openness of public records:

Every custodian of public records shall permit any record in the custodian's custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. As used herein, "custodian" does not mean an agency that holds the public records of other agencies solely for purposes of storage or safekeeping or solely to provide data processing.

The implication of this last sentence is that if an agency contracts with the Department of Information Technology or any outside vendor for file storage, it is still the responsibility of the records-creating agency to be able to produce required documents necessary to answer a public records request (or an audit or discovery for litigation). For this reason, be sure that all electronic records contracts include language that addresses the procedures for exporting records should a contractor go out of business or should the agency decide to transfer the contract to another vendor.


Similarly, if an agency contracts with outside providers for any services, those providers must be made aware of their legal obligations for maintaining public records in accordance with these functional

schedules. In addition, any confidentiality requirements established for particular records apply to contractors and providers in the same manner they apply to State agencies themselves.

Confidentiality

As indicated above, North Carolina has a fairly broad definition of public records. However, not all of these public records are open to public inspection. G.S. § 132-1.1 through G.S. § 132-1.23 list numerous records that are exempt from disclosure, and there are additional places in the General Statutes of North Carolina as well as in the federal code that confer confidentiality on records. Be aware, according to G.S. § 132-6(c):

No request to inspect, examine, or obtain copies of public records shall be denied on the grounds that confidential information is commingled with the requested nonconfidential information. If it is necessary to separate confidential from nonconfidential information in order to permit the inspection, examination, or copying of the public records, the public agency shall bear the cost of such separation. . . .

Any records that are considered confidential are identified with a  in the RC No. column and a specific citation in the rightmost column. No claim of confidentiality can be made without specific regard to a state or federal authority. However, be aware that the presence of such a citation does not necessarily indicate that all records within that series are entirely confidential. If there are questions, verify with agency legal counsel or public information officer.

Destructions

General Statute § 121-5 authorizes DNCR to regulate the destruction of public records, codified in the North Carolina Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510:

(a) Paper records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways:

- burned, unless prohibited by local ordinance
- shredded, or torn up so as to destroy the record content of the documents or material concerned
- placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
- sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

(b) Electronic records should be destroyed in this way:

- the data and metadata are to be overwritten, deleted, and unlinked so the data and metadata may not be practicably reconstructed.

(c) Confidential records and records containing confidential information, whether paper or electronic, should be destroyed in this way:

- the data, metadata, and physical media are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

For all records with a specified retention period, State agencies shall maintain a destructions log as part of the Records Management File. A sample is available on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>.

Public records, including electronic records, not listed on a functional schedule are not authorized to be destroyed.

Audits and Litigation Actions

Records subject to audit or those legally required for ongoing proceedings must be retained until released from such audits or official proceedings.

Electronic Records

State agencies should consider retention requirements and disposition authorities when designing and implementing electronic records management systems. Any type of electronically-created or electronically-stored information falls under the North Carolina General Assembly's definition of public records cited above. For example, e-mail, text messages, blog posts, voicemails, websites, word processing documents, spreadsheets, databases, and PDFs all fall within this definition of public records. In addition, G.S. § 132-6.1(a) specifies:

Databases purchased, leased, created, or otherwise acquired by every public agency containing public records shall be designed and maintained in a manner that does not impair or impede the public agency's ability to permit the public inspection and examination of public records and provides a means of obtaining copies of such records. Nothing in this subsection shall be construed to require the retention by the public agency of obsolete hardware or software.

State agencies may scan any paper record and retain it electronically for ease of retrieval. If an agency wishes to destroy the original paper records before their assigned retention periods have been met, the agency must establish an electronic records policy, including putting into place internal procedures for quality assurance and documentation of authorization for records destructions. Forms and templates to guide these processes can be found on the records management tools page at <https://archives.ncdcr.gov/government/rm-tools>, and best practices for file naming, file formats, and maintaining trustworthy digital public records can be found at <https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>. This electronic records policy must be approved by the Government Records Section. Agencies should be aware that for the purpose of any audit, litigation, or public records request, they are considered the records custodian obligated to produce requested records, even if said records are being maintained electronically by an outside vendor. Therefore, contracts regarding electronically stored information

should be carefully negotiated to specify how records can be exported in case a vendor goes out of business or the agency decides to award the contract to a different vendor.

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.”¹ 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 records management tools page at <https://archives.ncdcr.gov/government/rm-tools>). In identified cases where records overlap between state agencies, SANC 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 security storage (indicated by a © on the functional schedule); in these cases, the records remain in the legal custody of the originating agency.

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.”² 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 Schedules 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

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

² Ibid.

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, so 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.

Historical Value

The term historical value is used interchangeably with archival value. The Society of American Archivists *Dictionary of Archives 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:

³ Ibid.

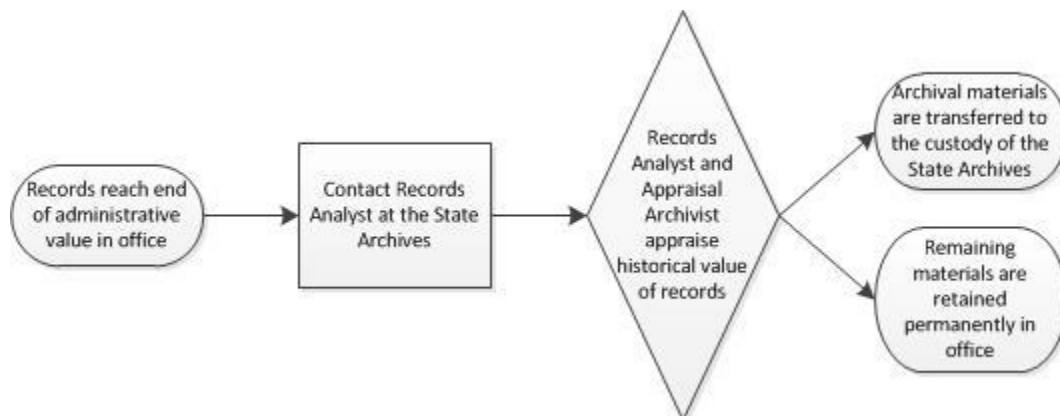
- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
- Extraordinary documentation is found in records 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.

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.

As with any situation in which a state agency has questions about the records it produces and maintains, the records analyst assigned to the agency is available for consultation on decisions about historical value.

Schedules Format

These Functional Schedules apply to records in all media, unless otherwise specified. If your agency has records that are designated to transfer to the State Archives, please contact your records analyst to discuss the format in which these records will transfer.



– 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 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.”⁴

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 Center, either for

⁴ Ibid.

temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records.

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.

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

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

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

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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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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>.

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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.

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.

NOTE: 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.

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	If data contains confidential information, abide by relevant restrictions.
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	

* 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.

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: _____	

* 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.

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 correspondence; e-mail accounts will be transferred when individuals separate from these positions. Other State agency employees whose e-mails will only be retained by the Department of Information Technology for a period of 5 years are responsible for identifying and retaining any e-mails that are necessary for audit or other long-term retention purposes.

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. Records for governing and advisory bodies are under GOVERNANCE. 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) ∞	

* 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.



RC No.	Record Types	Description	Disposition Instructions	Citation
133.P	Correspondence (cont.) SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL)	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	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	
136.1	Meeting Materials SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE)	minutes and attachments for internal committees or task forces	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
136.S	(continued on following page)	agendas, meeting packets, visual aids, presentations, notes, and audio/visual recordings for internal committees or task forces	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.

RC No.	Record Types	Description	Disposition Instructions	Citation
136.R	Meeting Materials (cont.)	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 SEE ALSO: Construction Management (INFRASTRUCTURE MANAGEMENT)	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		records documenting special projects that establish new programs or services for the agency that become ongoing functions and priorities	PERMANENT (appraisal required) ∞	

* 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.


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 Documents Clearinghouse.

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.

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) ∞	
		annual reports submitted by utility companies to the NC Utilities Commission Public Staff	PERMANENT (archival) ∞	
141.P 		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	SEE ALSO: Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)	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.

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 10 or more printed copies or 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina	Authority G.S. § 125-11.8(b)
		reports prepared at the request of an agency's governing body or a court	PERMANENT (archival) ∞ -OR- Transfer 10 or more printed copies or 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina	Authority G.S. § 125-11.8(b)
		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.

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.

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.

Appendix


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
State Treasurer, Department of	Departmental History File	16241

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

133.A Archival Correspondence (Capstone): These positions have been identified as archival e-mail accounts through the Capstone project and will be tagged by the Department of Information Technology for legal hold until the position holder separates from the agency, at which time the account will be downloaded for immediate transfer to the custody of the Archives.

Agency	Position	Archival State Records Series Number
Administration, Department of (continued on following page)	Accounting Manager – Fiscal	40.86 
	Admin Officer II – Surplus Property	
	Admin Officer III – Facility Management	
	Admin Assistant III – Secretary’s Office	
	Assistant to Secretary	
	Assistant to the Secretary for Historically Underutilized Businesses Outreach	
	Attorney – P&C	
	Benefits Admin	
	Budget Analyst – Fiscal	
	Business and Info Systems Liaison – State Property	
	Business Officer I -- Surplus Property	
	Commission of Indian Affairs Director	
	Executive Director, NC Council for Women and Domestic Violence Commission	
	Deputy Secretary	
	Deputy Secretary – Advocacy	
	Deputy Secretary for Operations	
Deputy State Purchase Officer – P&C		
Director, Division of Non-Public Education		

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

Agency	Position	Archival State Records Series Number
Administration, Department of (cont.)	Director, Human Resources Management Division	
	Director, Mail Service Center	
	Director, MIS	
	Director, Motor Fleet Management Division	
	Director, Office of Fiscal Management	
	Director, Public Relations	
	EEO Officer	
	Engineering Manager - State Construction	
	Facility Management Director	
	General Counsel	
	Grounds Superintendent II – Facility Mgmt	
	Internal Auditor – Secretary’s Office	
	Legislative Affairs Program Coordinator	
	Plant Maintenance Supervisor III – Facility Mgmt	
	Purchasing Officer – Fiscal	
	Real Property Manager – State Property	
	Safety Director	
	Secretary	
	State Parking System Director	
	State Property Director	
State Purchasing Officer		


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


Agency	Position	Archival State Records Series Number
Administrative Hearings, Office of	Attorney II – Human Relations Commission	6057.1 
	Chief Financial Officer	
	Codifier of Rules	
	Director and Chief Administrative Law Judge	
	Director of Civil Rights Division	
	Senior Administrative Law Judge	
Agriculture and Consumer Services, Department of	Agricultural Programs Administrator	7.34 
	Assistant Commissioner, Agricultural Services	
	Assistant Commissioner, Consumer Protection	
	Assistant Commissioner, NC Forest Service	
	Chief Deputy Commissioner	
	Chief of Staff	
	Commissioner	
	Director, Division of Soil and Water Conservation	
	Director, Marketing Division	
	Executive Director, Agricultural Finance Authority	
	General Counsel	
	Manager, N.C. State Fair Division	
	Rulemaking Coordinator	
State Forester		
Commerce, Department of	Assistant Secretary for Rural Economic Development	





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


Agency	Position	Archival State Records Series Number	
Commerce, Department of (cont.)	Assistant Secretary of Workforce Solutions	37.9	
	Commerce Chief of Staff		
	Commissioner of Banks		
	Executive Director of the Office of Science, Technology & Innovation		
	Secretary		
Commerce, Department of -- Division of Employment Security	Chief Financial Officer	45.13	
	Director, Unemployment Insurance		
Environmental Quality, Department of (continued on following page)	Assistant Secretary for the Environment	82.59	
	Assistant Secretary for Natural Resources		
	Chief Deputy Secretary		
	Chief Financial Officer		
	Chief Information Officer		
	Chief, Energy Section		
	Communications Director for Environmental Protection		
	Department PIO		
	Deputy Director, Water Resources		
	Director, Air Quality		
	Director, Coastal Management		
	Director, Energy, Mineral, & Land Resources		
	Director, Legislative Affairs		
Director, Marine Fisheries			


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


Agency	Position	Archival State Records Series Number	
Environmental Quality, Department of (cont.)	Director, Mitigation Services		
	Director, Waste Management		
	Director, Water Resources		
	Executive Assistant to Assistant Secretary for Environment		
	Executive Assistant to Secretary		
	Executive Director for Energy		
	General Counsel		
	N.C. Geological Survey		
	Secretary		
Health and Human Services, Department of	Deputy Secretary for Human Services	91.53	
	Deputy Secretary of Behavioral Health and Developmental Disabilities Services		
	Deputy Secretary of Health Services		
	Deputy Secretary of Medical Assistance		
	Secretary		
Industrial Commission, North Carolina	Chair of the Industrial Commission	181.3	
(continued on following page)	Chief Data Officer, Deputy State CIO	6002.10	
	Chief Financial Officer		
	Chief Strategy Officer, Deputy CIO		
	Deputy State Chief Information Officer/ Chief Services Officer		
	Director of Intergovernmental Affairs and Vendor Relations		
	Director of Public Affairs		



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Agency	Position	Archival State Records Series Number
Information Technology, Department of (cont.)	General Counsel and Policy Director	
	IT Compliance Auditor Team Lead	
	Legislative Affairs / Program Coordinator	
	State Chief Information Officer	
	State Chief Information Risk Officer	
Labor, Department of	Agricultural Safety & Health Bureau Chief	10.26 
	Assistant Deputy Commissioner Occupational Safety and Health	
	Boiler Safety Bureau Chief	
	Chief of Staff	
	Commissioner of Labor	
	Consultative Services Bureau Chief	
	Deputy Commissioner, Occupational Safety and Health Division	
	Deputy Commissioner, Standards and Inspections	
	Director of Administration and Governmental Affairs	
	Director of Budget and Management	
	Director of Communications and Policy Development	
	Director of Financial Services Division	
	Director of Governmental Affairs	
	Education, Training and Technical Assistance Bureau Chief	
	Elevator and Amusement Device Bureau Chief	
Executive Assistant to the Commissioner		

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Agency	Position	Archival State Records Series Number	
Labor, Department of (cont.)	General Counsel		
	Mine and Quarry Bureau Chief		
	Planning, Statistics and Information Management Bureau Chief		
	Research and Policy Director		
	Retaliatory Employment Discrimination Bureau Chief		
	Safety & Health Compliance Eastern Bureau Chief		
	Safety & Health Compliance Western Bureau Chief		
	State Plan Administrator		
	Wage and Hour Bureau Administrator		
Military and Veterans Affairs, Department of	Assistant Secretary of Military Affairs	115.6	
	Assistant Secretary for Veterans Affairs		
	Business Officer		
	Secretary		
(continued on following page)	Assistant to Chief Deputy Secretary	57.35	
	Assistant to Deputy Secretary		
	Assistant to the Secretary		
	Chief Deputy Secretary		
	CEO, North Carolina Symphony		
	Chief Financial Officer		
	Chief Information Officer		
	Deputy Secretary for Archives & History		

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Agency	Position	Archival State Records Series Number
Natural and Cultural Resources, Department of (cont.)	Deputy Secretary for Diversity, Equity, Accessibility and Inclusion	
	Deputy Secretary for Natural Resources	
	Director, African American Heritage Commission	
	Director, Archives & Records	
	Director, Clean Water Management Trust Fund	
	Director, Division of Aquarium	
	Director, Historical Resources	
	Director of Legislative Affairs and Advisor to the Secretary	
	Director, Marketing	
	Director, Museum of Art	
	Director, Natural Sciences Museum	
	Director, State Historic Sites	
	Director, State History Museums	
	Director, State Parks	
	Director, Zoological Park	
	Environmental Review Coordinator	
	Executive Director, North Carolina Arts Council	
	Executive Director, Tryon Palace	
General Counsel		
Secretary		
State Archaeologist		
(continued on following page)		


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Agency	Position	Archival State Records Series Number
Natural and Cultural Resources, Department of (cont.)	State Librarian	
Public Instruction, Department of	Attorney II	104.384 
	Chief Academic and Digital Learning Officer	
	Chief Financial Officer	
	Chief Information Officer	
	Deputy State Superintendent	
	Director, Accountability Services	
	Director, Data, Research & Federal Policy	
	Director, District and School Transformation	
	Director, Internal Auditor	
	Director, K-12 Curriculum and Technology	
	Executive Director, State Board of Education	
	Legislative & Community Affairs Director	
	Senior Policy Advisor	
	Special Assistant	
Public Safety, Department of (continued on following page)	Adjutant General, North Carolina National Guard	54.16 
	Attorney	
	Chair, Post Release Supervision and Parole Commission	
	Chairman, Alcoholic Beverage Control Commission	

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Agency	Position	Archival State Records Series Number
Public Safety, Department of (cont.)	Chief Information Officer	
	Commander, State Highway Patrol	
	Commissioner of Adult Correction and Juvenile Justice	
	Commissioner of Operations	
	Controller	
	Deputy Commissioner, Administration	
	Deputy Commissioner, Juvenile Justice	
	Deputy Commissioner, Operations	
	Deputy Director of Administration, Prisons	
	Director of Communications	
	Director of Engineering	
	Director of Human Resources	
	Director of Internal Audit	
	Director of Special Operations	
	Director of Special Projects	
	Director, Budget & Analysis	
	Director, Community Corrections	
	Director, Correction Enterprises	
	Director, Emergency Management	
	Director, Prisons	
(continued on following page)	Director, Private Protective Services Board/Alarm System Licensing Board	

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

Functional Schedule for North Carolina State Agencies (2021)






Appendix


Agency	Position	Archival State Records Series Number	
Public Safety, Department of (cont.)	Director, Purchasing & Logistics		
	Director, Rehabilitative Programs & Services		
	Executive Director, Governor’s Crime Commission		
	Executive Director, Inmate Grievance Resolution Board		
	General Counsel		
	Manager of Combined Records		
	Rulemaking Coordinator		
	Secretary		
	Sr. Legislative Liaison, Governmental Affairs		
Revenue, Department of	Assistant Secretary	11.14	
	COO		
	Secretary		
State Auditor, Office of	Agency Legal Consultant	5.55	
	Chief Deputy		
	Chief Information Officer		
	Deputy State Auditor		
	External Affairs Manager		
	General Counsel		
	Public Information Officer		
	State Auditor		
State Controller, Office of	Business Manager/Chief Financial Officer		


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


Agency	Position	Archival State Records Series Number
State Controller, Office of (cont.)	Chief Deputy State Controller	22.14 
	Deputy State Controller	
	Executive Assistant	
	Legislative Affairs Program Manager	
	State Controller	
	State Controller/Business Systems Manager	
State Human Resources, Office of	Business Operations Division Director	34.17 
	Communication Director	
	Deputy Director of State Human Resources	
	Diversity and Inclusion Division Director	
	Division Director	
	Employee Relations Director	
	Executive Assistant	
	General Counsel	
	Human Resources Director	
	Legislative Liaison	
	Local Government Director	
	Safety, Health and Wellness Division Director	
	State Human Resources Director	
Transportation, Department of (continued on following page)	Chief Deputy Secretary	80.29 
	Chief Financial Officer	

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Agency	Position	Archival State Records Series Number
Transportation, Department of (cont.)	Chief Information Officer	
	Commissioner of Motor Vehicles	
	Deputy Secretary Communications	
	Deputy Secretary for Transit	
	Director of Civil Rights	
	Director of Division of Highways/State Highway Administrator	
	Environmental Program Advisor	
	Executive Assistant to the Secretary	
	Executive Director NC Turnpike Authority	
	General Counsel	
	NC State Port Authority CEO	
	Public Records Manager	
	Research and Development Manager	
	Secretary	
	State Program Analysis Engineer	
Technical Services Administrator		
Wildlife Resources Commission	Chief Deputy Director	87.19 
	Deputy Director of Operations	
	Executive Director	

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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133.A Archival Correspondence: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives. (NOTE: This includes e-mail accounts from state agencies that do not use Department of Information Technology services; these accounts will be manually transferred to the Archives and are designated with an * after the series title.)

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
Commerce, Department of	Secretary's Correspondence File	299
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
Information Technology, Department of	Secretary's Correspondence File	36031
Insurance, Department of	Commissioner's Correspondence File	11620
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
State Auditor, Office of the	State Auditor's Correspondence File	47653
State Budget and Management, Office of	Director's Correspondence File	1531

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

Agency	Series Title	Item Number
State Bureau of Investigation	Director's Correspondence File	16574
State Controller, Office of the State	State Controller's Correspondence File	44633
State Human Resources, Office of	Director's Correspondence File	165
State Treasurer, Department of	State Treasurer's Correspondence File*	16271
Transportation, Department of	Secretary's Correspondence File	2927

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. (A + indicates e-mail from this position holder will also be captured from the Department of Information Technology through the Capstone project.)

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
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
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	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
	State Chief Information Officer's Correspondence File +	47357
Insurance, Department of (continued on following page)	Assistant Commissioner's Correspondence File	11870
	Chief Deputy Commissioner's Correspondence File	41769

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Functional Schedule for North Carolina State Agencies (2021)



Agency	Series Title	Item Number
Insurance, Department of (cont.)	Chief Information Officer's Correspondence File	50601
	Life and Health Insurance Division Commissioner's Correspondence File	35341
	Office of State Fire Marshal Senior Deputy Commissioner's Correspondence File	11877
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
	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
Public Instruction, Department of	Tryon Palace Historic Sites and Gardens Administrator's Correspondence File	26566
	Division of Fiscal Control Services Director's Correspondence File	20474
	Division of Human Resource Management Director's Correspondence File	33218
Public Safety, Department of	Division of School Facility Services Director's Correspondence File	35389
	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
(continued on following page)		

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Functional Schedule for North Carolina State Agencies (2021)



Agency	Series Title	Item Number
Secretary of State, Department of the (cont.)	Trademarks Registration Office Registrar's Correspondence File	50846
State Bureau of Investigation	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
State Treasurer, Department of	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
	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	
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
Wildlife Resources Commission	Executive Director's Correspondence File	2742

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

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
Ethics Commission, NC 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

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
Public Instruction, Department of (cont.)	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
State Treasurer, Department of	Actuary Correspondence File	16277

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
State Bureau of Investigation	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 (continued on following page)	Capital Improvement Projects File	3428
	Office of Archives and History Special Projects File	13063
	State Agency Oral History Interviews	50878

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

Natural and Cultural Resources, Department of (cont.)	State Capitol Projects File	22838
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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
NC Utilities Commission Public Staff	Utility Companies Annual Reports File	579

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	Reports File	50132
Administrative Hearings, Office of	Human Relations Commission Reports File	57
Administrative Office of the Courts	Guardian ad Litem Division Statistical Reports File	40585
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, 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 Examiners, State Board of	Reports File	50192
Cemetery Commission, North Carolina	Reports File	50301
Certified Public Accountant Examiners, North Carolina State Board of	Annual Reports	21059

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Functional Schedule for North Carolina State Agencies (2021)



Agency	Series Title	Item Number
Chiropractic Examiners, North Carolina State Board of	Reports File	28878
Commerce, Department of	Rural Manpower Reports File	12073
Commerce, Department of – Economic Development Partnership of North Carolina	Annual Reports File	14885
Cosmetic Art Examiners, North Carolina Board of	Annual Reports File	17476
Counselors, North Carolina Board of Licensed Professional	Reports File	50193
Dental Examiners, North Carolina State Board of	Governor’s Reports File	45729
Dietetics/Nutrition, North Carolina Board of	Reports File	50195
Electrical Contractors, State Board of Examiners of	Reports File	50196
Electrolysis Examiners, North Carolina Board of	Reports File	50219
Engineers and Surveyors, North Carolina State Board of Examiners for	Reports File	50220
Environmental Health Specialist Examiners, State Board of	Annual Reports File	20094
Environmental Quality, Department of	Groundwater Section Reports File	17386
Foresters, 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 State	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

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Functional Schedule for North Carolina State Agencies (2021)



Agency	Series Title	Item Number
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
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, State Board of Examiners for	Reports File	50288
Occupational Therapy, North Carolina Board of	Reports File	50289

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Functional Schedule for North Carolina State Agencies (2021)



Agency	Series Title	Item Number
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
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	Adult Corrections Reports File	10172
	Community Corrections Statistical Reports File	36302
	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, 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

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Agency	Series Title	Item Number
Soil Scientists, North Carolina Board for Licensing of	Reports File	50297
Speech and Language Pathologists and Audiologists, Board of Examiners for	Reports File	50298
State Treasurer, Department of	Deputy Treasurer's Reports File	16272
State Treasurer, Department of (cont.)	Retirement Systems Divisional Reports File	16279
	Treasurer's Reports File	50832
Substance Abuse Professional Practice Board, North Carolina	Reports File	50299
Transportation, Department of	State Maintenance Branch Prison Labor Reports File	3135
Veterinary Medical Board, North Carolina	Reports File	50300

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
Elections, State Board of	Administrative File	21076
Housing Finance Agency, NC	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
State Human Resources, Office of	Directives File	28213
State Treasurer, Department of	Financial Operations Division Policies File	49343

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

Agency	Series Title	Item Number
State Treasurer, Department of (cont.)	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
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.



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

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.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 2.1 Natural and Cultural Resource Management
 - 211 Accession Records
 - 212 Collections Management Records
 - 213 Finding Aids
 - 214 Historical Marker Records
 - 215 Library Catalog Records
 - 216 Loan Records
 - 217 Protections Records
 - 218 Records Management Documentation
- 2.2 Property, Facility, Equipment, and Supplies Management
 - 221 Aircraft Logbooks
 - 222 Facility Management Records
 - 223 Ferry Plans
 - 224 Inventory Management Records
 - 225 Permits
 - 226 Property Management Records
 - 227 Vehicle Registration Records

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>.

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.

RC No.	Record Types	Description	Disposition Instructions	Citation
211.P	Accession Records	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	PERMANENT	
212.P	Collections Management Records	records concerning conservation assessments and treatments of objects, artifacts, and documents; also includes restorations of historic sites and all animal and veterinary records	PERMANENT	
213.P	Finding Aids	indices and other information compiled to facilitate the discovery of information within collections of the Department of Natural and Cultural Resources	PERMANENT	
214.P	Historical Marker Records	records concerning each historical highway marker approved by the Department of Natural and Cultural Resources; includes site description, inscription, and photograph	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	Description	Disposition Instructions	Citation
215.1 	Library Catalog Records	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		includes bibliographic data, shelf lists, interlibrary loan data, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
216.P	Loan Records	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		facilities reports from borrowing institutions	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
217.A	Protections Records	records concerning endangered species of plants and animals, grounds granted for oyster beds, natural and scenic rivers, Natural Heritage Areas; includes lists, evaluations, reports, and other related records	PERMANENT (archival) ∞	<u>Retention</u> G.S. § 121-8(b)
		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	PERMANENT (archival) ∞	
		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) ∞	
(continued on following page)				

* 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	Description	Disposition Instructions	Citation
217.P	Protections Records (cont.)	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	PERMANENT (appraisal required) ∞	
218.A	Records Management Documentation	retention and disposition schedules written by the State Archives	PERMANENT (archival) ∞	
218.P	SEE ALSO: Records Management Materials (AGENCY MANAGEMENT)	guidance and directives provided by the State Archives to state and local government agencies	PERMANENT ©	
		turnover file documenting the transfer, storage, and disposition actions taken concerning inactive state agency records transferred to the State Records Center	PERMANENT ©	
		records concerning the development or amendment of retention schedules for local and state agencies, universities, licensing boards, and independent commissions	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.

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 200.333(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	Description	Disposition Instructions	Citation
221.T	Aircraft Logbooks	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	RETAIN UNTIL: Ownership of aircraft changes THEN: Transfer to new owner	<u>Authority/Retention</u> 14 CFR 43 14 CFR 91
222.3	Facility Management Records SEE ALSO: Infrastructure Maintenance Records (INFRASTRUCTURE MANAGEMENT) (continued on following page)	system repair and improvement records (including plumbing, electrical, fire, and other systems)	RETAIN UNTIL: Complete PLUS: 3 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
222.1 ₁ 	Facility Management Records (cont.)	as-built drawings, updated as necessary for renovations or additions	RETAIN UNTIL: building is renovated or demolished PLUS: 1 year THEN: Destroy <i>NOTE: If building is sold, transfer records to new owner.</i>	<u>Confidentiality</u> G.S. § 132.1-7
222.1 ₂	SEE ALSO: IT Assistance Records (INFORMATION TECHNOLOGY), As-Built Drawings (INFRASTRUCTURE MANAGEMENT), Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)	environmental monitoring records within agency facilities	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
		routine janitorial cleaning and maintenance records for properties, facilities, vehicles, and other equipment; includes work/repair orders and other related records	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
222.S 		blueprints, floorplans, drawings, and other preliminary design and construction documents	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 132.1-7
223.A	Ferry Plans	building plans and specifications for each ferry operated by the Department of Transportation	PERMANENT (archival) ∞	
224.3	Inventory Management Records	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	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
224.S		lists of properties, facilities, fixed assets, supplies, and surplus property	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
		operating manuals, specifications, and warranties	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.



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



Records That Will Transfer to the State Records Center

Appendix

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
Department of Agriculture and Consumer Services	Endangered Plants File	9127
Department of Natural and Cultural Resources	Historic Structures Photographic Negatives File	36340
	State Parks Geographic Manuals and Element Classifications File	35206
	State Parks Managed and Protected Natural Areas File	35208
Wildlife Resources Commission	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
Department of Natural and Cultural Resources	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
Department of Natural and Cultural Resources	Superseded Records Retention and Disposition Schedules File	3919

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.



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

Agency	Series Title	Item Number
Department of Natural and Cultural Resources	Local Agency Program File	3915
	Local Schedule Development File	39089
	Records Reference Requests File	23648
	Records Turnover File	23649
	State Agency and University Schedule Development File	23960
	State Agency Program File	3802
	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
Department of Transportation	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
Department of Military and Veterans Affairs	Veterans Cemeteries File	50825

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.



3. Economic Development

Economic Development is the function of encouraging the conditions for economic growth and improved quality of life. Agencies document efforts to support innovation and expand the availability of goods and services. The Departments of Administration and Commerce and the Economic Development Partnership of North Carolina carry out this function.

NOTE: If grant funding provides the mechanism for supporting economic development, those records are not on this schedule; instead, see FINANCIAL MANAGEMENT. For example, the Department of Commerce funds community development through block grants (CDBG).

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 3.1 Business Recruitment and Services
 - 311 Economic Advancement Plans
 - 312 Historically Underutilized Businesses (HUB) Records
 - 313 Industrial Client Records from EDPNC
 - 314 Trade Show Records from EDPNC
- 3.2 Tourism
 - 321 Tourism and Marketing Publications
 - 322 Tourism Data
 - 323 Welcome Center Records

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>.

There are a number of archival records on this schedule, some of which transfer electronically (such as Industrial Client Records from EDPNC, RC No. 313.A).



G.S. § 132-6(d) establishes confidentiality for records concerning industrial projects, and G.S. § 132-1.2 confers confidentiality to business or technical information that gains value from not being readily known, so some business recruitment records are confidential for some period of time.

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.


3.1 Business Recruitment and Services

DEFINED: Activities encouraging the development and growth of North Carolina business. This work is carried out by the Economic Development Partnership of North Carolina (EDPNC) and the Office for Historically Underutilized Businesses within the Department of Administration.

SEE ALSO: If grant funding provides the mechanism for supporting economic development, those records are under FINANCIAL MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
311.R	Economic Advancement Plans	records produced by the Department of Commerce containing advice to local government entities about land use, economic development, and other similar planning projects; includes maps generated by GIS applications, reports, studies, ordinances, and other related project documentation	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____ <i>NOTE: Transfer official copy of project documentation to local government entity on behalf of which the project was completed.</i>	
312.A 	Historically Underutilized Businesses (HUB) Records	HUB records concerning minority, disabled, or female-owned businesses; includes verification/certification and approval letters, site visit documentation, and other related records	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 132-1.2 G.S. § 132-6(d)
312.P		data collected by HUB; includes construction as well as goods and services reporting	PERMANENT	
312.1		letters of denial and other related records to or from vendors who have been denied HUB designation; also includes unrequired submissions	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
312.< 		withdrawn or incomplete applications submitted to HUB	RETAIN UNTIL: Withdrawn or evaluated THEN: Return to applicant	<u>Confidentiality</u> G.S. § 132-1.2 G.S. § 132-1.10
		(continued on following page)		

* 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
312.6	Historically Underutilized Businesses (HUB) Records (cont.)	purchasing reports submitted to HUB by every governmental entity required by statute to use the services of the Department of Administration in the purchase of goods and services, every local school administrative unit, and every private, nonprofit corporation (that receives an appropriation of \$500,000 or more during a fiscal year from the General Assembly); also includes building project reports regarding minority business participation reports	RETAIN UNTIL: Received PLUS: 6 years THEN: Destroy	Authority G.S. § 143-48(b) G.S. § 143-128.3
313.A	 Industrial Client Records from the Economic Development Partnership of North Carolina (EDPNC)	EDPNC records concerning foreign and domestic business clients; includes reports, annual reports of companies, brochures, memoranda, plans, employer profiles, customized training proposals, and photographs	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 132-1.2 G.S. § 132-6(d)
313.3		information about EDPNC leads and prospective clients	RETAIN UNTIL: Received PLUS: 3 years THEN: Destroy	
314.3	Trade Show Records from the Economic Development Partnership of North Carolina (EDPNC)	EDPNC proposals, publicity results, financial reports, itineraries, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
314.1 ₁		EDPNC information on prospective participants	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	
314.1 ₂		EDPNC information on clients who participated in trade show events; includes correspondence, company information sheets, and product listings	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
(continued on following page)				

* 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.



RC No.	Record Types	Description	Disposition Instructions	Citation
314.<	Trade Show Records from EDPNC (cont.)	applications from trade show participants submitted to EDPNC	RETAIN UNTIL: Completion of trade show THEN: Destroy	

3.1

* 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.

3.2 Tourism

DEFINED: Activities marketing North Carolina as a visitor destination. The Economic Development Partnership of North Carolina (EDPNC) and the Department of Commerce carry out these activities.

3.2

SEE ALSO: Research records are under AGENCY MANAGEMENT. Requests for information are under PUBLIC RELATIONS.

RC No.	Record Types	Description	Disposition Instructions	Citation
321.A	Tourism and Marketing Publications	official copies of maps, brochures, advertisements, and other promotional materials produced by the Economic Development Partnership of North Carolina; includes maps, brochures, and copies of digital media uploaded to websites or social media platforms	PERMANENT (archival) ∞	
322.A	Tourism Data	official copies of statistical data and expenditure reports concerning travel and tourism in North Carolina accumulated by the Economic Development Partnership of North Carolina	PERMANENT (archival) ∞	
323.A	Welcome Center Records	correspondence between the Department of Commerce and individuals, state agencies, organizations, and companies regarding dedications and other welcome center affairs	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.


Records That Will Transfer to the State Records Center

Appendix


312.A Historically Underutilized Businesses 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 Administration	Historically Underutilized Businesses (HUB) Vendor File	47352

313.A Industrial Client Records from EDPNC: Export all public record data, including attachments, from customer relationship management system 5 years after completion or cancellation of project. Electronic records will transfer immediately to the custody of the Archives.

Agency	Series Title	Item Number
Department of Commerce – Economic Development Partnership of North Carolina	Projects File	398 


321.A Tourism and Marketing Publications: 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 Commerce – Economic Development Partnership of North Carolina	Tourism and Marketing Digital Media File	48352 
	Tourism and Marketing General Advertising File	399
	Tourism and Marketing Permanent Publication File	400

322.A Tourism Data: 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 Commerce – Economic Development Partnership of North Carolina	Tourism Data File	14801

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




323.A Welcome Center 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 Commerce	North Carolina Welcome Center Subject File	3839

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.

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

4. Education

The function of Education is primarily the purview of local education agencies (LEAs) but also has some activities at the state level. Education institutions subject to this schedule include Governor Morehead School for the Blind, North Carolina School for the Deaf, Eastern North Carolina School for the Deaf, state operated healthcare facilities operated by the Department of Health and Human Services (DHHS), and prisons, youth development centers, and juvenile detention centers operated by the Department of Public Safety (DPS). This schedule applies to the Governor’s School program and the curriculum and assessment standards developed by the Department of Public Instruction (DPI). This schedule also applies to agencies that oversee professional credentialing.

NOTE: Separate records retention and disposition schedules govern the records of the North Carolina Community College System campuses and the UNC System institutions.

See AGENCY MANAGEMENT for history and planning records. See GOVERNANCE for records from the State Board of Education (SBE), including textbook adoptions, charter school authorizations, and graduation requirements. See HUMAN RESOURCES for on-the-job training. See MONITORING AND COMPLIANCE for compliance with federal education mandates and teacher certification as well as oversight of charter, conventional, home, and proprietary schools. See PUBLIC RELATIONS for agency programming that does not grant credentials or diplomas. Accreditation standards and decisions are records of the SBE, while the reviews of schools by DPI staff during the accreditation process are under MONITORING AND COMPLIANCE.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 4.1 Administration of LEAs
 - 411 Attendance Lists
 - 412 Course Matrix
 - 413 Disciplinary Actions
 - 414 Enrollments and Withdrawals
 - 415 FERPA Compliance
 - 416 Field Trip Authorizations
 - 417 Institutional Correspondence
 - 418 Student Associations and Organizations
 - 419 Student Awards and Honors
 - 4110 Student Counseling and Advisement Records
 - 4111 Student Medical Treatment Records
- 4.2 Credentialing
 - 421 Coursework



- 422 Participant Information
- 4.3 Curriculum and Assessment Development
 - 431 Assessments
 - 432 Course Development
 - 433 Curriculum Development
 - 434 Lesson Plans
- 4.4 Governor's School of North Carolina
 - 441 Attendance Lists
 - 442 Classroom Administrative Records
 - 443 Nominations
 - 444 On-Site Administrative Records
 - 445 Student Records
- 4.5 Student Progress
 - 451 Academic Action Authorizations
 - 452 Classroom Grades
 - 453 Cumulative Record
 - 454 Driver Education Program
 - 455 Exam Reports
 - 456 Graduation Lists
 - 457 Parent/Guardian Contacts
 - 458 Services to Students with Disabilities
 - 459 Student Work
 - 4510 Transcript Requests
 - 4511 Transition File

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>.

Many Education records are produced on an academic year basis, so the triggers to begin the retention period are usually the end of the academic year. Many records, such as the Course Matrix (RC No. 412), have little value beyond the year for which it was generated and should be destroyed in office when it becomes obsolete. In all cases, it is best to organize education records chronologically. For example, by doing so, in 2018 an agency could easily identify and destroy any Classroom Grades (RC No. 452) that were completed before 2017. The graduate lists produced by DPI (RC No. 456) are archival in nature; after many years of transferring to the State Archives on paper as part of annual reports, they now transfer electronically.

Because of the federal Family Educational Rights and Privacy Act (20 USC 1232g) or FERPA (implemented in 34 CFR Part 99), most student records are confidential; therefore, the security of both paper and electronic records should be maintained at all times. (Further elaboration on the confidentiality of education records is codified in 34 CFR § 300 parts 560-577.) However, FERPA does allow for the release of directory information, which the educational institution must define (see 34 CFR 99.3).

Juvenile offender records are conferred confidentiality by G.S. § 7B-1413, and the 1972 NC Court of Appeals decision in *Goble v. Bounds* (13 N.C. App. 579) affirmed that prison records of inmates are confidential and not subject to inspection by the public.




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.

4.1 Administration of LEAs

DEFINED: Activities related to the management of educational facilities of the Department of Health and Human Services (DHHS), the Department of Public Instruction (DPI), and the Department of Public Safety (DPS).

*SEE ALSO: Records concerning accreditation by the Southern Association of Colleges and Schools (SACS) are under AGENCY MANAGEMENT, as are school histories and transportation reports. Scholarship and other fiscal records are under FINANCIAL MANAGEMENT. Food services records are under AGENCY MANAGEMENT and FINANCIAL MANAGEMENT. Personnel records are under HUMAN RESOURCES. Any accreditations granted by the agency **to other entities** are covered under MONITORING AND COMPLIANCE, as are any internal audits conducted to ensure compliance with federal mandates such as the National Defense Education Act (NDEA) or the Elementary and Secondary Act (ESEA). Student handbooks are considered publications under PUBLIC RELATIONS. For residential life records (e.g., visitor logs) as well as accidents or incidents that occur on school grounds, see RISK MANAGEMENT. General correspondence is under AGENCY MANAGEMENT. Library/media center records are under ASSET MANAGEMENT.*

4.1



RC No.	Record Types	Description	Disposition Instructions	Citation
411.3	Attendance Lists	school-wide headcount reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
411.< 		individual classroom attendance records	RETAIN UNTIL: End of academic year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
412.<	Course Matrix	includes course selection and verification reports and slips, student scheduling reports, and teacher assignments	RETAIN UNTIL: End of academic year THEN: Destroy	
413.T 	Disciplinary Actions	records concerning student violations of academic or non-academic regulations; includes expulsion notices	TRANSFER to Cumulative Record when issued	<u>Confidentiality</u> 20 USC 1232g
413.5 		includes charges, evidence, transcripts, correspondence, and other related records; also includes residential life disciplinary actions that do not result in suspension	RETAIN UNTIL: Student graduates or separates from program PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g

* 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.

© 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	Description	Disposition Instructions	Citation
414.5	Enrollments and Withdrawals	attendance records of enrollments and withdrawals from the program, including transfers and dropouts; includes attendance verifications	RETAIN UNTIL: End of academic year PLUS: 5 years THEN: Destroy	
415. P 	FERPA Compliance	includes requests for formal hearings, written decisions of hearing panel, waivers for rights of access, notifications, requests for release of information, consent forms, opt-out requests, correspondence, and other related records	PERMANENT	<u>Confidentiality</u> 20 USC 1232g
416.<	Field Trip Authorizations	includes dates of trips, purpose of trips, trip destinations, itineraries, parental consent forms, and other related information	RETAIN UNTIL: End of academic year THEN: Destroy	
417.1	Institutional Correspondence SEE ALSO: Correspondence (AGENCY MANAGEMENT)	records concerning requests for documentation from other LEAs or educational institutions; also includes responses	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
418.R	Student Associations and Organizations	includes constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, and other related records	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
419.5	Student Awards and Honors	includes recommendations, approvals, references, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
4110.2 	Student Counseling and Advisement Records	includes advisors' notes and reports, interview forms, student test profiles, aptitude test scores, approved schedule forms, recommendations, references, career planning forms, correspondence, and other related records	RETAIN UNTIL: Student graduates or separates from program PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g

* 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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RC No.	Record Types	Description	Disposition Instructions	Citation
4111.< 	Student Medical Treatment Records SEE ALSO: Accident/Incident Reports (RISK MANAGEMENT)	records concerning medical attention provided to students on campus by school officials; includes injury report forms, medication and procedures logs, and other related records	RETAIN UNTIL: Student reaches age 19 THEN: Destroy*	<u>Confidentiality</u> 42 USC 1320d-2(d)(2)

4.1


* 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.
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4.2 Credentialing

DEFINED: Activities conducted by agencies who offer courses to non-agency personnel that are necessary for professional or recreational credentialing and re-certification.

SEE ALSO: The records for continuing education that is required for a position is under HUMAN RESOURCES. The records documenting education obtained in order to receive or renew a professional or recreational license are scheduled under MONITORING AND COMPLIANCE for the agency that oversees the license, where the participant records on this schedule belong to the agency conducting the training. If an agency merely authorizes another entity to provide training, those records are also under MONITORING AND COMPLIANCE.

4.2

RC No.	Record Types	Description	Disposition Instructions	Citation
421.A	Coursework	comprehensive qualifying examinations written by occupational licensing boards	PERMANENT (archival) ∞	<i>NOTE: Abide by any confidentiality restrictions relevant to the agency.</i>
421.P	SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)	materials produced for the training of law enforcement officers	PERMANENT	
421.S		records concerning courses offered to non-agency personnel that are necessary for professional or recreational credentialing and re-certification; includes instructional materials, assessments, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
422.5 	Participant Information SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)	includes applications, contact information, deliverables/assessments, effective and expiration dates of certificate/permit/credential, continuing education units (CEUs), and other related records	RETAIN UNTIL: Complete PLUS: 5 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.10 <i>NOTE: Abide by any additional confidentiality restrictions relevant to the agency.</i>

* 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.

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

4.3 Curriculum and Assessment Development

DEFINED: Activities conducted by the Department of Public Instruction (DPI) to develop Standard Courses of Study and end-of-grade and end-of-course tests. Also includes materials and assessments generated by classroom teachers.

4.3

RC No.	Record Types	Description	Disposition Instructions	Citation
431.S	Assessments	assessments developed and administered by classroom teachers	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
431.P 		assessments developed and administered by the Department of Public Instruction; includes end-of-grade and end-of-course tests	PERMANENT	<u>Confidentiality</u> G.S. § 115C-174.13(a) 16 NCAC 06D .0306
432.S	Course Development	includes proposals, outlines, syllabi, and pacing guides	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
433.P	Curriculum Development	Standard Courses of Study developed by the Department of Public Instruction to define the scope and sequence of courses	PERMANENT	
434.S	Lesson Plans	lesson plans developed by individual teachers or teams	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
		lesson plans licensed from vendors	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	Abide by any relevant copyright restrictions

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

4.4 Governor’s School of North Carolina

DEFINED: Activities conducted by the Department of Public Instruction (DPI) to develop and coordinate a summer residential program for intellectually gifted high school students.

4.4

SEE ALSO: General records regarding the operation of the Governor’s School, including histories, are under AGENCY MANAGEMENT. The records of the Board of Governors are under GOVERNANCE.





RC No.	Record Types	Description	Disposition Instructions	Citation
441.P	Attendance Lists	lists of students attending each session	PERMANENT	
442.S	Classroom Administrative Records	includes proposals, outlines, syllabi, pacing guides, lesson plans, activities, and student work	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
443.2	Nominations	includes basic student information form and essays, personal readiness form, recommendation form, student eligibility form, and nomination form	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
444.3	On-Site Administrative Records	records concerning the day-to-day administration of each campus; includes student activity and recreation records, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
445.5	Student Records	includes special needs forms, publicity releases, permission forms, personal information, health forms, disciplinary records, and other related records	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.
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4.5 Student Progress

DEFINED: Records documenting K-12 student progress toward a high school diploma or graduation certificate as well as preparation for a General Educational Development (GED) test while at a Department of Health and Human Services (DHHS), Department of Public Instruction (DPI), or Department of Public Safety (DPS) facility. Youth development centers operate as LEAs, so their records are subject to the below requirement for cumulative records.

SEE ALSO: Patient clinical records for children receiving services from CDSAs are under HEALTHCARE.

RC No.	Record Types	Description	Disposition Instructions	Citation
451.2 	Academic Action Authorizations	records concerning changes made to students' cumulative records	RETAIN UNTIL: Student graduates or withdraws PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
452.1 	Classroom Grades	records maintained by teachers documenting grades earned by students on individual assignments	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g
453.P 	Cumulative Record	records of students' pre-school, elementary and secondary educational career; includes final course grades, identification and attendance data, notices of any long-term suspensions or expulsions imposed, and such other factual information as may be deemed appropriate by the local board of education having jurisdiction over the school wherein the record is maintained	PERMANENT ©	<u>Confidentiality and Retention</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App. 579)
453.2 		family information, health and immunization records, accountability worksheets, standardized test dates and results, grade sheets, and other related records	RETAIN UNTIL: Student graduates or withdraws PLUS: 2 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.
 © 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	Description	Disposition Instructions	Citation
454.T	Driver Education Program	driver education completion certificate	TRANSFER to Cumulative Record when issued	
454.<		includes driver eligibility forms and other related records	RETAIN UNTIL: Student reaches age 18 or obtains high school diploma or its equivalent THEN: Destroy	
455.1 	Exam Reports	class record sheets, summary goal reports, individual and class roster reports, and other records related to standardized assessments	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 115C-174.13(b)
456.A	Graduation Lists	annual list of high school graduates compiled by the Department of Public Instruction	PERMANENT (archival) ∞	
457.1 	Parent/Guardian Contacts	records concerning parent or guardian interactions with teachers and administrators; includes meeting notes and correspondence	RETAIN UNTIL: End of academic year PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> 20 USC 1232g

* 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.

© 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	Description	Disposition Instructions	Citation
458.5 	<p>Services to Students with Disabilities</p> <p><i>NOTE: Includes qualifications under Section 504 of the 1973 Rehabilitation Act and the Individuals with Disabilities Education Act (IDEA).</i></p> <p>SEE ALSO: Children’s Developmental Service Agency (CDSA) Patient Clinical Records (HEALTHCARE), Case Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)</p>	<p>records concerning students enrolled in Department of Health and Human Services, Department of Public Instruction, or Department of Public Safety facilities; includes achievement results; intelligence, eligibility, and physical test results; medical reports if the student is physically or mentally impaired; individual education plans (IEPs) and forms; operating plans; testing accommodations; meeting notes and multidisciplinary team reports; screening, placement, referral, parental consent and notification forms; correspondence and other related records; also includes records from adjudication, mediation, or due process hearings regarding the provision of services to students with disabilities</p>	<p>RETAIN UNTIL: Student separates from program PLUS: 5 years THEN: Destroy*</p> <p><i>NOTE: The parent, guardian, surrogate parent, or eligible student must be notified prior to destruction of personally identifiable information so copies of records can be provided if desired. Information must be destroyed at the request of parents if no longer needed to provide educational services to the child. (34 CFR 300.573)</i></p>	<p><u>Confidentiality</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App 579)</p>
459.< 	Student Work	work submitted by students for individual assignments and assessments	<p>RETAIN SAMPLES UNTIL: End of academic year THEN: Destroy</p> <p><i>NOTE: Most work is returned to student after assessment.</i></p>	<p><u>Confidentiality</u> 20 USC 1232g</p>
4510.1	Transcript Requests	requests by students for transcripts	<p>RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy</p>	
4511.T 	Transition File	records documenting credentials and certifications earned by individuals in Department of Public Safety correctional facilities	<p>RETAIN UNTIL: Release THEN: Transfer to individual</p>	<p><u>Confidentiality</u> <i>Goble v. Bounds</i> (13 N.C. App 579)</p>

* 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.
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Records That Will Transfer to the State Records Center

421.A Comprehensive Exams: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
North Carolina Auctioneers Commission	Comprehensive Examination File	48729
North Carolina Board of Podiatry Examiners	Comprehensive Examination File	48815
North Carolina Landscape Contractors' Licensing Board	Comprehensive Examination File	48733
North Carolina On-Site Wastewater Contractors and Inspectors Certification Board	Comprehensive Examination File	48735
North Carolina Psychology Board	Examinations Security File	17032
North Carolina Real Estate Commission	Examinations File	20151
North Carolina State Bar	Paralegal Certification Examinations File	47996
	Specialization Certification Examinations File	48003
North Carolina State Board of Examiners of Fee-Based Practicing Pastoral Counselors	Comprehensive Examination File	48639
North Carolina State Hearing Aid Dealers and Fitters Board	Comprehensive Examination File	50806
North Carolina Water Treatment Facility Operators Certification Board	Examination File	19730
State Board of Examiners of Electrical Contractors	Comprehensive Examination File	48731
State Board of Refrigeration Examiners	Examination Questions File	48105
State Board of Registration for Foresters	Comprehensive Examination File	48737

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


422.5 Participant Information: Transfer to the State Records Center after examination results are completed. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Board of Law Examiners of the State of North Carolina	Failed Applications File	3322
	Failed Examinations File	3326
	Passed Examination File	3325
	Withdrawn Applications File	3323

453.P Cumulative Record: Transfer records to the State Records Center when juvenile turns 18 years old, except for violent offenders whose commitments have been extended to 19 or 21 years old, to be microfilmed for permanent security storage.


Agency	Series Title	Item Number
Department of Public Safety	Division of Youth Development Student Education File	2247

456.A Graduation Lists: Transfer records annually to the State Records Center upon certification by the State Board of Education for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Public Instruction	N.C. High School Graduate Reports File	980 



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



5. Financial Management

Financial Management is the function of caring for the financial resources and obligations of a government agency. Most of the records covered by this schedule fall under the State Governmental Accountability and Internal Control Act (G.S. § 143), which requires state agencies to maintain internal control documentation and make it available upon request for examination by the State Controller and the State Auditor.

NOTE: For payroll records, see HUMAN RESOURCES. For delegations of authority, see LEGAL.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 5.1 Accounting
 - 511 Accounts Payable
 - 512 Accounts Receivable
 - 513 Accounts Uncollectable
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 - 515 Electronic Funds Transfers (EFT)
 - 516 Escheats
 - 517 Fee Schedules
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 - 519 Journals and Ledgers
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 - 5112 Travel Requests
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- 541 Banking Records
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- 5.6 Procurement
 - 561 Bids and Proposals
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- 5.7 Tax Management
 - 571 Assessments and Valuations
 - 572 Delinquent Taxpayer Records
 - 573 Seizure of Property Records
 - 574 Tax Credit Authorizations
 - 575 Tax Forms
 - 576 Tax Returns

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 Financial Management records have archival value, and many have relatively short retention periods ranging from 3 to 6 years. The retention periods for many of these records are triggered by either the close of the fiscal year or the conclusion of an event such as the final disbursement of funds or submission of a final report; for this reason, it is best to organize Financial Management records chronologically according to the trigger events.

Some record types have relatively short-term administrative value. For example, performance reports on investments (RC No. 543) 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. Other records have long-term historical value. These record types, such as final reports and deliverables from grants issued by the agency (RC No. 533), should be transferred to the State Archives of North Carolina as indicated by the disposition instructions.

Functional Schedule for North Carolina State Agencies (2020)



Note that some records within Financial Management include taxpayer information or student information that is confidential and should be carefully protected to be in compliance with G.S. § 132-1.10 and 20 USC § 1232g (FERPA).

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.

5.1 Accounting





DEFINED: Activities related to collecting, recording, classifying, summarizing, and maintaining transactional records.

SEE ALSO: Delegation of authority records are under LEGAL. Financial audits are under MONITORING AND COMPLIANCE. Official financial summary reports such as the Comprehensive Annual Financial Report (CAFR) are under PUBLIC RELATIONS.

NOTES: These records include monies allocated by the General Assembly and disbursed through the State Treasurer as well as those obtained from other sources and maintained outside of the State Treasurer’s office. In cases where one agency is responsible for creating and distributing reports to other agencies, the creating agency is responsible for the disposition instructions indicated below; agencies in receipt of these reports have reference copies that may be destroyed when their reference value ends. The Office of the State Controller is the records custodian of the North Carolina Accounting System (NCAS). Financial reports include those generated from NCAS as well as any other system.

RC No.	Record Types	Description	Disposition Instructions	Citation
511.3	Accounts Payable	records concerning the status of accounts in which the agency owes money to firms or individuals; includes invoices, receipts or bills of sale, check registers, and subsidiary registers; also includes stop payment notices	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	<u>Retention</u> NC OSC Policy 900.8
511.5		records concerning amounts paid to individuals as allowances or reimbursements for travel or other business expenses	RETAIN UNTIL: Fiscal year close PLUS: 5 years THEN: Destroy*	<u>Retention</u> 04 NCAC 24D .0501(a)
512.3	Accounts Receivable	records concerning receivables owed and collected; includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts; also includes records concerning accounts sent to NC Debt Setoff Program for collection	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	<u>Retention</u> NC OSC Policy 900.8

* 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
513.3	Accounts Uncollectable	records of accounts deemed uncollectable; includes returned checks, write-off authorizations, and other related records	RETAIN UNTIL: Determined uncollectable Agency Policy: _____ PLUS: 3 years THEN: Destroy*	<u>Retention</u> NC OSC Policy 900.8
514.11 	Disbursing Account Statements	statements created by the State Treasurer indicating monthly activity for each disbursing account	RETAIN UNTIL: Fiscal year close PLUS: 11 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.2
514.3 		records concerning the collection by the State Treasurer of forged state warrants	RETAIN UNTIL: Resolution PLUS: 3 years THEN: Destroy*	<u>Authority</u> 20 NCAC 01C .0402 <u>Confidentiality</u> G.S. § 132-1.2
514.2 		source documents received by the State Treasurer for Federal Reserve Bank transactions, including warrants (State checks) and deposit transactions	RETAIN UNTIL: Received PLUS: 2 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.2 <u>G.S. § 147-68.2</u>
515.S 	Electronic Funds Transfers (EFT)	includes forms authorizing electronic transfer of monies via wire transfer or automated clearing house (ACH); includes direct deposit forms and ACH bank reports	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.2
516.10 ₁	Escheats (continued on following page)	holder reports filed with the State Treasurer concerning escheated funds reverting to the State of North Carolina and documentation of tracking, management, and disposal of tangible property	RETAIN UNTIL: Filed or created PLUS: 10 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
516.10 ₂	Escheats (cont.)	records containing information required to be included in holder reports submitted to the State Treasurer before July 16, 2012 <i>NOTE: These records must be maintained by the holder.</i>	RETAIN UNTIL: Report filed PLUS: 10 years THEN: Destroy*	<u>Retention</u> N.C. Session Law 1999-460, s. 6 (amended by Sess. Law 2012-187, s. 9)
516.5 ₁		records concerning claim inquiries filed with the State Treasurer; includes forms and other related records regarding the payment or denial of escheated funds	RETAIN UNTIL: Claim filed PLUS: 5 years THEN: Destroy*	
516.5 ₂		records containing information required to be included in holder reports submitted to the State Treasurer on or after July 16, 2012 <i>NOTE: These records must be maintained by the holder.</i>	RETAIN UNTIL: Report filed PLUS: 5 years THEN: Destroy*	<u>Retention</u> G.S. § 116B-73
517.S	Fee Schedules SEE ALSO: Accounts Receivable (above)	records concerning rates and fees of agency services and assessments; also includes rates for fines and penalties	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
518.3	Financial Reports SEE ALSO: Official Publications	annual financial reports or other reports generated to inform decision-making	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy	
518.1	(PUBLIC RELATIONS)	monthly or quarterly reports generated for operational purposes	RETAIN UNTIL: Fiscal year close PLUS: 1 year THEN: Destroy	
		payment histories reported by the Housing Finance Agency to credit bureaus	RETAIN UNTIL: Fiscal year close PLUS: 1 year THEN: Destroy	
518.< ₁	(continued on following page)	daily or periodic reports generated from the North Carolina Accounting System (NCAS) by the Office of the State Controller for operational purposes	RETAIN UNTIL: Complete PLUS: 30 days 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
518.<2	Financial Reports (cont.)	logs and distribution reports generated to track transactions	RETAIN UNTIL: Released from audits THEN: Destroy	
519.3	Journals and Ledgers	year-end summaries of receipts and disbursements not in the North Carolina Accounting System (NCAS); includes profit and loss statements	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	
519.1		daily, monthly, and quarterly details of receipts, collections, and disbursements not in NCAS	RETAIN UNTIL: Fiscal year close PLUS: 1 year THEN: Destroy*	
519.6		general and detail records of transactions in NCAS maintained by the Office of the State Controller	RETAIN UNTIL: Fiscal year close PLUS: 6 years THEN: Destroy*	
5110.<	Payment Card Data	records created in association with payment card transactions entered by third parties for the purchase of goods or services from the agency	RETAIN UNTIL: Processed THEN: Destroy	
5111.3	Reconciliations	bank statements, canceled checks, deposit slips, and reconciliation reports	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	
5111.<		physical checks or other financial instruments received by the agency and deposited electronically	RETAIN UNTIL: Deposited PLUS: 30 days THEN: Destroy*	
5112.5	Travel Requests	financial records regarding agency travel; includes documentation of advance payments and reimbursements	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	<u>Retention</u> 04 NCAC 24D .0501(a)
5112.1		requests and authorizations for travel; includes forms and itineraries	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.

5.2 Budgeting

DEFINED: Activities related to allocating funds and planning for the use of expected income over a specified period.

NOTE: In cases where one agency is responsible for creating and distributing records to other agencies, the creating agency is responsible for the disposition instructions indicated below; agencies in receipt of this information have reference copies that may be destroyed when their reference value ends.

5.2

RC No.	Record Types	Description	Disposition Instructions	Citation
521.3	Budget Development Records	budget requests and appropriations; includes justifications and requests for revisions	RETAIN UNTIL: Fiscal year close PLUS: 3 years Then: Destroy*	
521.2		administrative budget records; includes research, correspondence, and other related records	RETAIN UNTIL: Fiscal year close PLUS: 2 years THEN: Destroy*	
521.35		budget certifications prepared and approved by the Office of State Budget and Management (OSBM)	RETAIN UNTIL: Fiscal year close PLUS: 35 years Ω THEN: Destroy*	
522.1	Budget Execution and Tracking Records	periodic reports (weekly, monthly, quarterly) detailing actual year-to-date revenue and expenditures	RETAIN UNTIL: Fiscal year close PLUS: 1 year THEN: Destroy*	
522.<		authorizations to move funds between budget codes	RETAIN UNTIL: Released from audits THEN: Destroy*	
		budget reports generated from the North Carolina Accounting System (NCAS) by the Office of the State Controller	RETAIN UNTIL: Released from audits THEN: Destroy*	
522.A		annual June 30th report from the Office of State Budget and Management (OSBM) detailing actual fiscal-year-end revenue and expenditures	PERMANENT (archival) ∞	
	(continued on following page)			

* 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
522.13	Budget Execution and Tracking Records (cont.)	budget allotments issued by OSBM	RETAIN UNTIL: Fiscal year close PLUS: 13 years Ω THEN: Destroy*	
522.7		budget revisions issued by OSBM	RETAIN UNTIL: Fiscal year close PLUS: 7 years Ω THEN: Destroy*	
523.3	Budget Memos SEE ALSO: Archival Correspondence (AGENCY MANAGEMENT) for directives regarding the state budget issued by the director of the Office of State Budget and Management	directives regarding the state budget issued by any governing body that are not captured in the official minutes	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy	
524.3	Budgetary Control Document Entries	forms used by the Office of the State Controller to enter data into the North Carolina Accounting System (NCAS)	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	

5.2

* 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.

5.3 Grants Management

DEFINED: Activities related to the administration of grants received by or awarded by state agencies including the re-granting of Federal monies (i.e., pass-through grants).

*NOTES: Some record types are replicated here because grant records have specific retention requirements, usually stipulated by the funder. For instance, according to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition of the property/equipment. If there is a discrepancy between the retention period listed here and that required by the funder, abide by the more restrictive requirement. All grants managed by the Department of Health and Human Services must receive clearance from the DHHS Office of the Controller before documentation may be purged. **In any case where the retention requirement of the funder is longer than the disposition indicated here, records custodians must abide by the stricter requirement.***

RC No.	Record Types	Description	Disposition Instructions	Citation
531.1	Denied Applications	records relating to grant applications that are denied by the agency and to unsuccessful grant applications submitted by the agency; includes applications, evaluations, and correspondence	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
532.5	Grants Administered by Agency	records relating to state pass-through grants administered by the agency; includes applications, evaluations, grant monitoring, modifications and amendment request, progress reports, correspondence, and other related records	RETAIN UNTIL: Submission of final report PLUS: 5 years Ω THEN: Destroy*	<u>Authority/Retention</u> 09 NCAC 03M .0703
532.3	(continued on following page)	records relating to Federal pass-through grants administered by the agency; includes applications, evaluations, grant monitoring, modifications and amendment request, progress reports, correspondence, and other related records	RETAIN UNTIL: Submission of final report PLUS: 3 years Ω THEN: Destroy*	<u>Retention</u> 2 CFR 200.333

* 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
532.10	Grants Administered by Agency (cont.)	records relating to disbursement of funds from the Centers for Medicare & Medicaid Services (CMS); also includes financial records, rate sheets, invoices for payment, utilization data, and other related records	RETAIN UNTIL: Inactive or submission of final report PLUS: 10 years Ω THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d) DHHS Office of the Controller memorandum (April 20, 2016)
533.5	Grants Issued by Agency	records relating to grants issued by the agency using state appropriations or other agency funds; includes applications, evaluations, grant monitoring, modifications and amendment requests, progress reports, correspondence, and other related records	RETAIN UNTIL: Submission of final report PLUS: 5 years Ω THEN: Destroy*	<u>Authority/Retention</u> 09 NCAC 03M .0703
533.A		final reports and deliverables or other documentation of the distribution of funds	PERMANENT (archival) ∞	
534.5	Grants Program Administration	records relating to the agency's oversight of grant funding; includes fiscal and allocation reports, audit reports, correspondence, and other related records	RETAIN UNTIL: Submission of final report PLUS: 5 years THEN: Destroy*	<u>Authority/Retention</u> 09 NCAC 03M .0703
535.P	Grants Received by Agency	records relating to major grants received by the agency that begin new initiatives or promote core functions of the agency	PERMANENT (appraisal required) ∞	
535.5		records relating to routine state or non-governmental grants received by the agency; includes applications, notifications, periodic reports, time and effort (cost-sharing) reports, modification requests, correspondence, and other related records	RETAIN UNTIL: Submission of final report PLUS: 5 years THEN: Destroy*	<u>Authority/Retention</u> 09 NCAC 03M .0703
(continued on following page)				

* 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
535.3	Grants Received by Agency (cont.)	records relating to routine Federal grants received by the agency; includes applications, notifications, periodic reports, time and effort (cost-sharing) reports, modification requests, correspondence, and other related records	RETAIN UNTIL: Submission of final report PLUS: 3 years THEN: Destroy*	<u>Retention</u> 2 CFR 200.333

5.3

* 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.

5.4 Investment Management

DEFINED: Activities related to the efficient and economical oversight of agency investments and debts.

SEE ALSO: Financial audit records are under MONITORING AND COMPLIANCE.

5.4

RC No.	Record Types	Description	Disposition Instructions	Citation
541.S	Banking Records	records concerning designation of depository banks, savings and loan associations, or trust companies and related maintenance of the accounts	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
541.A		records concerning special funds maintained by the Department of the State Treasurer; includes disbursements and receipts	PERMANENT (archival) ∞	
542.P	Bond Records	records concerning the sale of bonds issued by the State	PERMANENT (appraisal required) ∞	
542.3 ₁		vouchers, disbursements, payables of Certificates of Participation, and other records related to creditors	RETAIN UNTIL: Final maturity PLUS: 3 years THEN: Destroy*	
542.3 ₂		records concerning bond funds administered by the agency	RETAIN UNTIL: Final maturity PLUS: 3 years THEN: Destroy*	
542.6		records concerning expenditure and/or investment of bond proceeds	RETAIN UNTIL: Final maturity PLUS: 6 years THEN: Destroy*	
543.3 ₁	Investment Records (continued on following page)	records concerning investment transactions, contributions, and distributions; includes trade tickets and broker confirmations and correspondence, exchange or consent instructions, investment strategy documents, and other due diligence materials	RETAIN UNTIL: Fiscal year end PLUS: 3 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
543.3 ₂	Investment Records (cont.)	records concerning investments with commercial banks; includes certificates of deposit as well as escrow collateral records	RETAIN UNTIL: Maturity PLUS: 3 years THEN: Destroy*	
543.2		transaction schedules for projecting revenue on investments to be funded or collected	RETAIN UNTIL: Fiscal year end PLUS: 2 years THEN: Destroy*	
543.R		performance investment reports issued by broker or investment firm and other related performance review records	RETAIN UNTIL: Reference value ends THEN: Destroy* Agency Policy: _____	

* 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.

5.5 Lending

DEFINED: Activities related to the administration of loans, including housing and business loans along with State student financial assistance in the form of scholarships or forgivable loans.

NOTE: Mortgagees such as the North Carolina Housing Finance Agency may have additional records requirements imposed by the Federal Department of Housing and Urban Development and the Federal Housing Administration. The records of the State Education Assistance Authority (SEAA) are scheduled on the General Records Retention and Disposition Schedule of the University of North Carolina at Chapel Hill and the University of North Carolina System Office.

5.5

RC No.	Record Types	Description	Disposition Instructions	Citation
551.5 	Awarded Scholarships	records documenting the awarding of renewable scholarships; includes applications, award letters, conditions and stipulations, agreements and contracts, disbursement statements, progress reports, and other related records	RETAIN UNTIL: Fiscal year close PLUS: 5 years THEN: Destroy*	<u>Confidentiality</u> 20 USC § 1232g
551.3 ₁ 		records documenting the awarding of one-time scholarships; includes applications, award letters, conditions and stipulations, agreements and contracts, disbursement statements, and other related records	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	
551.3 ₂ 		records documenting the awarding of forgivable loans to qualified service professionals; includes applications, award letters, conditions and stipulations, agreements and contracts, disbursement statements, progress reports, and other related records	RETAIN UNTIL: Satisfaction of obligation PLUS: 3 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.



RC No.	Record Types	Description	Disposition Instructions	Citation
552.1	Evaluations	records relating to decisions regarding loan and scholarship applications; includes evaluations, correspondence, and other related records	RETAIN UNTIL: Notification of applicant PLUS: 1 year THEN: Destroy*	
553.7	Loan Records	records concerning loans granted by the agency; includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, monitoring of wages, and other related records	RETAIN UNTIL: Satisfaction of obligation PLUS: 7 years THEN: Destroy*	<u>Retention</u> Federal Housing Administration Policy
553.5 ₁		disclosure statement prepared by the Federal Financial Institutions Examination Council	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	<u>Retention</u> 12 CFR 1003.5(d)
553.5 ₂		records concerning loans received by the agency; includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records	RETAIN UNTIL: Satisfaction or cancellation PLUS: 5 years THEN: Destroy*	
553.3		loan/application register	RETAIN UNTIL: Notification of applicant PLUS: 3 years THEN: Destroy*	<u>Authority</u> 12 CFR 1003.4 <u>Retention</u> 12 CFR 1003.5(d)
553.2+		loan applications	RETAIN UNTIL: Notification of applicant PLUS: 25 months THEN: Destroy*	<u>Retention</u> 12 CFR 1002.12

* 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
554.1 	Rejected Loan and Scholarship Records	records concerning applications that are denied by the agency or awards that are declined by the recipient	RETAIN UNTIL: Notification of applicant PLUS: 1 year THEN: Destroy*	<u>Confidentiality</u> 20 USC § 1232g

5.5




* 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.

5.6 Procurement

DEFINED: Activities related to obtaining goods, equipment, services, and other assets.

SEE ALSO: Inventories and other such records are under ASSET MANAGEMENT. Vendor records from Historically Underutilized Businesses are under ECONOMIC DEVELOPMENT. Personnel documents are under HUMAN RESOURCES. Contracts and delegation records are under LEGAL.

5.6

RC No.	Record Types	Description	Disposition Instructions	Citation
561.5 	Bids and Proposals (including Invitation for Bids [IFB], Request for Proposal [RFP], and Request for Quote [RFQ])	records documenting accepted bids/proposals/quotes to supply the agency with goods or services	RETAIN UNTIL: Termination or expiration of contract PLUS: 5 years Ω THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10 G.S. § 136-28.5 01 NCAC 05B .0103 <u>Retention</u> 01 NCAC 05B .1901
561.1		records concerning rejected bids and proposals to provide the agency with goods or services; also includes unopened bids	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy*	
561.R		notices, evaluations, and other related records	RETAIN UNTIL: Reference value ends THEN: Destroy* Agency Policy: _____	
562.5	Purchase Orders and Vouchers	authorizations and other documents concerning purchased goods or services; also includes procurement card authorization logs	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	<u>Retention</u> 01 NCAC 05B .1901
563.3	Qualified Products Lists (QPL)	records identifying products approved for purchase under State contract	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy*	
564.1	Requisitions	requests to acquire goods or services	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.



RC No.	Record Types	Description	Disposition Instructions	Citation
565.S	Vendor Records SEE ALSO: Historically Underutilized Businesses (HUB) Records (ECONOMIC DEVELOPMENT)	records identifying vendors approved to conduct business with state agencies; also includes list of vendors debarred from doing business with State agencies	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

5.6



* 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.

5.7 Tax Management

DEFINED: Activities related to the assessment, payment, and collection of taxes.

SEE ALSO: Audits and investigations of taxpayers are under MONITORING AND COMPLIANCE. Tax withholding records for agency personnel are under HUMAN RESOURCES. Records documenting federal tax credits available to employers for hiring individuals from certain target groups are under PUBLIC ASSISTANCE AND SUPPORT SERVICES.

5.7

RC No.	Record Types	Description	Disposition Instructions	Citation
571.S	Assessments and Valuations SEE ALSO: Fee Schedules (above)	records concerning the assessment of tax value or appraisal of assets	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
572.3 	Delinquent Taxpayer Records SEE ALSO: Garnishments (HUMAN RESOURCES)	records concerning the levying of garnishments by the Department of Revenue; includes notices, correspondence, and other related records	RETAIN UNTIL: Termination of deduction PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-113.112 G.S. § 105-259(b)
572.S		public listings of delinquent taxpayers by the Department of Revenue	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
572.3 		remaining records held by the Department of Revenue related to delinquent taxpayers	RETAIN UNTIL: Paid PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-113.112 G.S. § 105-259(b)
573.2	Seizure of Property Records	records concerning the seizure and sale of property by the Department of Revenue	RETAIN UNTIL: Paid PLUS: 2 years THEN: Destroy*	<u>Authority</u> G.S. § 105-242(a)(2)
574.6	Tax Credit Authorizations SEE ALSO: Employer Workforce Records, Eye Disability Reports (PUBLIC ASSISTANCE AND SUPPORT SERVICES)	records concerning the allocation of tax credits; includes applications, evaluations, correspondence, and other related records	RETAIN UNTIL: Expiration PLUS: 6 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.

Functional Schedule for North Carolina State Agencies (2020)



5.7

RC No.	Record Types	Description	Disposition Instructions	Citation
575.5 	Tax Forms	tax information returns generated by the agency (e.g., 1098, 1099, W-2, W-3) to be reported to the Internal Revenue Service and furnished to the other party to the transaction	RETAIN UNTIL: Submitted to taxpayer and/or IRS PLUS: 5 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10 <u>Retention</u> 04 NCAC 24D .0501(a) IRS Publication 15
576.6 ₁	Tax Returns	tax returns filed by the agency	RETAIN UNTIL: Filed PLUS: 6 years THEN: Destroy*	
576.6 ₂ 		tax returns received by the Department of Revenue; includes claims, exemptions, payment plans, refunds, and other related records	RETAIN UNTIL: Filed PLUS: 6 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-113.112 G.S. § 105-259(b)
576.2 		certified tax records provided by the Department of Revenue; includes correspondence, completed powers of attorney and declarations of representative forms, and other related records	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy*	
576.< 		taxpayer correspondence received and acted upon internally and with response by the Department of Revenue that is not subject to Executive Order No. 12 (2013)	RETAIN UNTIL: Complete PLUS: 30 days 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

521.35 Budget Certifications: Transfer to the State Records Center after 2 biennia. Records will be held for agency 31 additional years and then destroyed.

Agency	Series Title	Item Number
Office of State Budget and Management	Budget Certifications (Forms) File	1532

522.A Fiscal-Year-End Reports: Transfer to the State Records Center after 3 years (and conclusion of all audits) for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of State Budget and Management	Monthly Reports on the Budget File	1527


522.13 Budget Allotments: Transfer to the State Records Center after 3 years. Records will be held for agency 10 additional years and then destroyed.

Agency	Series Title	Item Number
Office of State Budget and Management	Allotments File	38146

522.7 Budget Revisions: Transfer to the State Records Center after 2 years. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Office of State Budget and Management	Appropriations (Budget Revisions) File	1530

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

532.5 State Grants Administered by Agency: Transfer records to the State Records Center 2 years after grant is closed. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Commerce	Grant Records Transferred from N.C. Rural Center File	50590
Department of Public Safety	Individual Assistance Unit Individual Disaster Applicants File	36571
	Public Assistance Disaster Infrastructure Disaster Applicants File	9848

532.3 Federal Grants Administered by Agency: Transfer records to the State Records Center 1 year after project is closed if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, transfer to State Records Center after completion of action and resolution of issues involved. Paper records will be held for agency 3 additional years after official notification of program year closeout from the United States Department of Housing and Urban Development and then destroyed.

Agency	Series Title	Item Number
Department of Commerce	Rural Economic Development Community Development Block Grant (CDBG) Grantees File	17719

532.10 CMS Funding Records: Transfer to the State Records Center 2 years after designated inactive. Records will be held for agency 8 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Environmental Inorganic Chemistry – Fluoride Reports File	1837
	Environmental Inorganic Chemistry (Raw Data) File	27420
	Hospital Providers Audits File	48424
	Long-Term Care (Skilled Nursing and Intermediate Care) Cost Reports File	1872
	Purchase of Medical Care Services Medical Cases File	1775

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



533.5 Grants Issued by Agency: Transfer records to the State Records Center 2 years after submission of final report. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Natural and Cultural Resources	North Carolina Arts Council Division Grants File	841

533.A Final Reports and Deliverables from Grants Issued by Agency: For awards subject to a recapture period, transfer final reports and deliverables to the State Records Center 3 years after conclusion of the recapture period. For all other awards, transfer final reports and deliverables to the State Records Center 3 years after conclusion of agreement period. Records will transfer immediately to the custody of the Archives.

Agency	Series Title	Item Number
Department of Commerce	Commerce Finance Center Awarded State Grants File	386
	Expanded Gas Products Service to Agriculture Fund Grants File	50861
	Industrial Development Fund/Utility Account Awarded Grants File	47422
	Main Street Solutions Fund Awarded Grants File	49923
	N.C. Board of Science and Technology Approved Small Grants File	1698
	North Carolina Film and Entertainment Grants File	50863
	OneNC Grants File	50862
	Rural Economic Development Community Development Block Grant (CDBG) Compliance File	17728
	Rural Grants Programs Awarded Grants File	50591
Department of Health and Human Services	Housing and Homelessness Section State Emergency Solutions Grants	50286
Department of Natural and Cultural Resources	Clean Water Management Trust Fund Grants for Restoration, Stormwater, and Wastewater Projects File	49367
	North Carolina Arts Council State Grants Final Reports	48307
	State Historic Preservation Office Grants File	811
Department of Public Safety	Governor’s Crime Commission Project File	721
Department of State Treasurer	Eliminating Health Disparities Initiative Project File	49817
	Tobacco Prevention and Cessation Initiatives Project File	49821
Department of Transportation	Powell Bill Eligibility File	3140

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




Golden Leaf Foundation	Program File	47707
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535.P Final Reports and Deliverables from Grants Received by Agency: For awards subject to a recapture period, transfer final reports and deliverables to the State Records Center 3 years after conclusion of the recapture period. For all other awards, transfer final reports and deliverables to the State Records Center 3 years after conclusion of agreement period. Records will transfer immediately to the custody of the Archives.

Agency	Series Title	Item Number
Department of Natural and Cultural Resources	Division of Archives and Records Grants File	50872
Department of Public Safety	Division of Emergency Management Hazard Mitigation Grants File	36570
North Carolina Community College System	Curriculum Improvement Projects File	33729


541.A Banking Records: Transfer to the State Records Center after 15 years for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of State Treasurer	Special Funds Records File	31259 

542.P Bond Records: Transfer to the State Records Center 5 years after date of completion for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of State Treasurer	Completed Bond and Note File	3219
	County and Municipal General Obligation (GO) Bonds Authorization and Issuance File	3471
	County Government Industrial Revenue Bond (IRB) and Special Purpose Bond Projects File	3215
	Districts, Authorities, Municipality and County Revenue Bonds File	16214
	NC Capital Facilities Finance Agency (NCCFFA) Bond File	31312
	NC State Government Bonds File	16346
	Results of Bonds Issued Book File	16364

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



561.5 Bids and Proposals: Transfer to the State Records Center after 3 years. Records will be held for agency 2 additional years and then destroyed.

Agency	Series Title	Item Number
North Carolina State Lottery Commission	Bids File	49716

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

6. Governance

The Governance function involves the creation of statutes and rules, agency liaisons with government officials, the oversight provided by governing or advisory bodies, and the collection of archival election records. Agencies document the actual statutes and regulations along with the process of their development. Governing bodies document their decision making. The State Board of Elections and the Department of the Secretary of State collect key documents regarding the campaign and election processes. The Governor's and Lieutenant Governor's offices document their constitutional and legislative functions. The General Assembly documents the creation of legislation, and the Office of Administrative Hearings documents official administrative rules.

6

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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>.

Some Governance records, such as Appointments to Service (RC No. 631), correspond to terms of office for elected or appointed officials and are best organized chronologically. Due to the potential impact of these records not only on the records creators but also on the general public, many of these records, such as State Abstracts of Votes (RC No. 617), are scheduled to be retained in office permanently or transferred to the State Archives. All archival records of the Offices of the Governor and Lieutenant Governor, such as executive orders (RC No. 626), are grouped under the Executive Office section.

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.

6.1 Administering Elections

DEFINED: Activities related to campaigns for public office and to the official recording of votes by the Department of the Secretary of State and the State Board of Elections.

6.1

SEE ALSO: Pursuant to G.S. § 163A-871, “The State voter registration system is the official voter registration list for the conduct of all elections in the State”; these records are scheduled as Permits under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
611.A	Campaign Reports	reports filed with the State Board of Elections by candidates, referendum committees, and legal expense funds; includes analyses of campaign committees’ finances	PERMANENT (archival) ∞	
612.A	Certifications	certifications prepared by the State Board of Elections and filed with the Department of the Secretary of State; includes notices of candidacy, certificates of nomination or election, and certificates of results of referenda and elections	PERMANENT (archival) ∞	<u>Authority</u> G.S. § 163-182.15
613.A	County Abstracts of Votes	abstracts of votes compiled by the county boards of elections after completion of county canvases and maintained by the Department of the Secretary of State	PERMANENT (archival) ∞	
614.P	Elector Records	nominations filed with the Department of the Secretary of State	PERMANENT	<u>Authority</u> G.S. § 163-108(a)
		certificates of ascertainment prepared by the Office of the Governor for the Archivist of the United States		<u>Authority</u> G.S. § 163-210

* 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
615.A	Electoral Petitions	records concerning requests to the State Board of Elections to have name printed on ballot as an unaffiliated candidate, to qualify as a write-in candidate, to recognize a new political party, or to be endorsed by a national political party for the office of President of the United States	PERMANENT (archival) ∞	Authority G.S. § 163-107.1 G.S. § 163-122 G.S. § 163-123 G.S. § 163-96(a)(2) G.S. § 163-213.5
616.P	Precinct Boundary Maps	alterations to approved precinct boundaries as requested by county boards of elections and reviewed by the Executive Director of the State Board of Elections	PERMANENT (appraisal required) ∞	Authority G.S. § 163-128
616.2	<i>NOTE: In North Carolina, the General Assembly is responsible for drawing congressional as well as state legislative and judicial district lines.</i>	proposed alterations to precinct boundaries that are rejected by the Executive Director of the State Board of Elections	RETAIN UNTIL: Rejection PLUS: 2 years THEN: Destroy	
617.A	State Abstracts of Votes	original abstracts and certifications of votes of the state prepared by the State Board of Elections and maintained by the Department of the Secretary of State	PERMANENT (archival) ∞	
618.A	Voting Rights Act Records	submissions of NC legislative changes that are required to be filed for the General Assembly with the U.S. Department of Justice by the Administrative Office of the Courts, NC Department of Justice, State Board of Elections, State Board of Education, or the Secretary of State	PERMANENT (archival) ∞	Authority G.S. § 120 Art. 6A


* 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.

6.2 Executive Office


DEFINED: Activities related to the constitutional and legislative functions of the Governor’s and Lieutenant Governor’s offices.

SEE ALSO: This schedule addresses archival records; records that should be temporarily retained are listed under the appropriate function (e.g., HUMAN RESOURCES). Records for the State Center for Geographic Information and Analysis are under INFORMATION TECHNOLOGY. Records for the Office of State Budget and Management are under FINANCIAL MANAGEMENT. Records created by ombudsmen in other agencies are under MONITORING AND COMPLIANCE. The disaster recovery records produced by the Division of Emergency Management are under RISK MANAGEMENT.

6.2

RC No.	Record Types	Description	Disposition Instructions	Citation
621.A	Awards	records concerning awards from the Office of the Governor	PERMANENT (archival) ∞	
622.A 	Clemency	requests to the Office of the Governor for reductions in criminal sentences; includes applications, correspondence, briefs, recommendations, and reports	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 148-74 G.S. § 148-76 <i>Goble v. Bounds</i> (13 N.C. App. 579)
623.A	Communications	records concerning the memoranda, correspondence, and other related records received from and sent to the Governor and Lieutenant Governor, other officials within the offices, and state and federal agencies concerning the administration and management of the office	PERMANENT (archival) ∞	
624.A	Constituent Services	records related to the activities of the Offices of the Governor and Lieutenant Governor with regards to communications with constituents	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.
 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
625.A	Executive Appointments SEE ALSO: Appointments to Service, Governing and Advisory Body Member Files (below)	records concerning appointments by the Offices of the Governor and Lieutenant Governor to agencies, boards, commissions, and judiciary; includes letters of appointment, correspondence, biographical summaries, oaths of office, letters of recommendation and resignation, and other related records	PERMANENT (archival) ∞	
626.A	Executive Orders, Disaster Declarations, and Proclamations SEE ALSO: Disaster Recovery Records (RISK MANAGEMENT)	records from the Office of the Governor related to the issuance of executive orders, disaster declarations, and proclamations; also includes orders placing the National Guard in active service	PERMANENT (archival) ∞	
627.A 	Extraditions	records from the Office of the Governor concerning the legal surrender of an alleged criminal subject to extradition; includes correspondence, briefs, summaries, waivers, executive agreements, and other related records; also includes documentation of rewards offered	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 148-74 G.S. § 148-76 <i>Goble v. Bounds</i> (13 N.C. App. 579)
628.A	Intergovernmental and External Relations	records from the Offices of the Governor and Lieutenant Governor that document the intergovernmental and external relations and activities with state and local officials, organizations, and other state and federal entities	PERMANENT (archival) ∞	
629.A	Legislative Management	records related to proposed and enacted legislative activities of the Offices of the Governor and Lieutenant Governor	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.

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
6210.A	Ombudsmen SEE ALSO: Improper Conduct Investigations (MONITORING AND COMPLIANCE)	records related to the work of the ombudsman in the Office of the Governor	PERMANENT (archival) ∞	
6211.A	 Policy and Legal	records documenting the policies developed and enacted by the Offices of the Governor and Lieutenant Governor; also includes legal work of the offices	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 148-74 G.S. § 148-76 <i>Goble v. Bounds</i> (13 N.C. App. 579)
6212.A	Scheduling	schedules of the Governor, First Spouse, and Lieutenant Governor	PERMANENT (archival) ∞	
6213.A	Speeches, Press Releases, and Briefings	records related to the activities of the Offices of the Governor and Lieutenant Governor with regards to communications through speeches, interviews, press releases, and briefings	PERMANENT (archival) ∞	
6214.A	Strategic Planning and Initiatives	records related to the activities of the Offices of the Governor and Lieutenant Governor that document strategic planning and initiatives promoted by the administration	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.

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

6.3 Governing and Advising

DEFINED: Activities related to governing bodies or advisory bodies that help shape the agency’s mission and strategies. General Statute § 143 Article 33C defines public bodies and the requirement of open meetings and also specifies the conditions permitting closed sessions.

6.3

SEE ALSO: The operational records of governing and advisory bodies are covered under AGENCY MANAGEMENT, and their financial records are covered under FINANCIAL MANAGEMENT. Staff meeting materials are also covered under AGENCY MANAGEMENT. Also see AGENCY MANAGEMENT (Operations) for a description of the Capstone project and identification of archival e-mail. Declaratory rulings issued by an agency or governing body are under LEGAL. Appointments by the Offices of the Governor and Lieutenant Governor are under the Executive Office section.

RC No.	Record Types	Description	Disposition Instructions	Citation
631.A	Appointments to Service SEE ALSO: Oaths of Office (below), Executive Appointments (above)	records maintained by the Department of the Secretary of State concerning appointments or reappointments issued by the Office of the Governor, Lieutenant Governor, members of the General Assembly, or other appointing authority; includes letters and notices/ commissions of appointments and oaths of office of board and commission members; also includes resignations from the General Assembly	PERMANENT (archival) ∞	<u>Authority</u> G.S. § 143 Art. 2B
631.1		records concerning appointments or reappointments issued by the agency	RETAIN UNTIL: Service ends PLUS: 1 year THEN: Destroy	
631.R		records related to selections of members; includes recommendations or nominations and other related records	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
632.P	Charters and Bylaws	documents defining the formal organization and standing rules of governing bodies	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.
 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
633.P	Governing and Advisory Body Correspondence SEE ALSO: Correspondence (AGENCY MANAGEMENT)	internal and external communications of board members related to decision-making, policy development, and other high-level planning	PERMANENT (appraisal required) ∞	
633.3		transitory correspondence of board members	RETAIN UNTIL: Received/Sent PLUS: 3 years THEN: Destroy*	
634.1 ₁	Governing and Advisory Body Member Files SEE ALSO: Executive Appointments (above)	records concerning members of elected and appointed bodies other than those appointed by the Governor or Lieutenant Governor; includes oaths of office, codes of conduct, ethics statements, agreements, notices of resignation, and other related records	RETAIN UNTIL: Service ends PLUS: 1 year THEN: Destroy	
634.1 ₂		waivers from board members choosing not to receive stipend/per diem payments	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	
634.P		historical biographical information on members; includes resumes/CVs and photographs	PERMANENT (appraisal required) ∞	
634.S		routine biographical information on members; includes resumes/CVs and photographs	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
635.P	Governing and Advisory Body Minutes	approved minutes for governing or advisory bodies; includes minutes, attachments, and addenda	PERMANENT (appraisal required) ∞	Authority G.S. § 143-318.10(e)
635.< ₁	(continued on following page)	agendas and other records related to planning meetings	RETAIN UNTIL: Approval of minutes 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
635.<2	Governing and Advisory Body Minutes (cont.)	audio or video recordings of meetings <i>NOTE: If these serve as the official minutes, as allowed by G.S. § 143-318.10(e), their retention should be permanent. The disposition instructions at the right apply to recordings produced solely for the purpose of generating official written minutes.</i>	RETAIN UNTIL: Approval of minutes THEN: Destroy	
636.A	Oaths of Office SEE ALSO: Appointments to Service (above)	official copies of oaths taken by various state personnel as required by law and maintained by the Department of the Secretary of State; also includes oaths of office by members of the General Assembly	PERMANENT (archival) ∞	
637.10	Statements of Economic Interest (SEI)	records concerning personal and financial interest disclosures filed with the State Ethics Commission by individuals covered under the State Government Ethics Act	RETAIN UNTIL: Complete PLUS: 10 years Ω THEN: Destroy	<u>Authority</u> G.S. § 138A-22

* 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.

6.4 Lawmaking and Rulemaking

DEFINED: Activities related to the creation of statutes and administrative rules. Also includes agency advocacy efforts at the local, state, or national level.

SEE ALSO: Additional reports are covered under AGENCY MANAGEMENT. Declaratory rulings about enacted rules are under LEGAL. General petitions by the public are under PUBLIC RELATIONS, as are rules published by agencies outside of the Administrative Code.

NOTE: Pursuant to G.S. § 120 Article 17, legislative communications are confidential.

6.4

RC No.	Record Types	Description	Disposition Instructions	Citation
641.A	Administrative Code	State of North Carolina's rules submitted by state agencies to the Office of Administrative Hearings; includes official signed submission forms and original copies of rule text as adopted; also includes Rules Review Commission notebooks	PERMANENT (archival) ∞	<u>Retention</u> G.S. § 150B-21.18
642.A	General Assembly Messages	messages exchanged by the NC House of Representatives and the NC Senate	PERMANENT (archival) ∞	
643.P	Government Affairs Records	records with historical significance produced in the course of liaising with other government officials regarding agency priorities	PERMANENT (appraisal required) ∞	
643.R		routine government affairs records; includes legislative liaisons	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
644.A	House and Senate Proceedings	daily records of official proceedings of the NC House of Representatives and the NC Senate; also includes lists of members attending, business transacted at sessions, calendars, and other supporting documents	PERMANENT (archival) ∞	<u>Authority</u> G.S. § 120-27 G.S. § 120-29
		electronic recordings of daily sessions in the General Assembly	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.


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
645.A	Legislation	includes official copies of session law, ratified acts, and resolutions enacted by the General Assembly and maintained by the Department of the Secretary of State; also includes failed to pass bills that were not enrolled by the General Assembly	PERMANENT (archival) ∞	
646.A	Legislative Committee Records SEE ALSO: Reporting (AGENCY MANAGEMENT)	records documenting legislative committees, study committees, standing, and non-standing committees in the General Assembly; includes reports, minutes, presentations, testimony, votes, correspondence, memoranda, and other related records	PERMANENT (archival) ∞	
646.<		audio or video recordings of meetings	RETAIN UNTIL: Approval of minutes THEN: Destroy	
647.A	Petitions SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS)	original petitions delivered to the General Assembly	PERMANENT (archival) ∞	
648.A	Roll Calls and Electronic Votes	records identifying members present and absent from General Assembly sessions and results of electronic voting	PERMANENT (archival) ∞	
649.P	Rule Making Proceedings <i>Note: Fiscal notes and certifications produced by the Office of State Budget and Management are required to be retained by the requesting agency.</i> SEE ALSO: Official Publications (PUBLIC RELATIONS)	records concerning rule making proceedings within the agency; includes written comments and petitions received, transcripts or recordings of public hearings, certifications, fiscal notes, and written explanations for adopting the rule	PERMANENT	<u>Authority</u> G.S. § 150B-19.1 <u>Retention</u> G.S. § 150B-21.2(i)

* 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

611.A Campaign Reports: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
State Board of Elections	All Record Reports File	35816
	Campaign Reports – North Carolina Candidates File	35814
	Campaign Reports – North Carolina Database File	36744 
	Campaign Reports – North Carolina Financial Analysis File	21071
	Campaign Reports – North Carolina General Political Committees (Since 1989) File	36745
	Campaign Reports – North Carolina Political Party Committees (Since 1989) File	36746

612.A Certifications: 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 the Secretary of State	State Board of Elections Certification of Votes File	16211

613.A County Abstracts of Votes: 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 the Secretary of State	County Abstracts of Votes File	2904

615.A Electoral Petitions: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
State Board of Elections	Notice of Candidacy Filing File	3271
	Petitions for New Parties File	3276
	Petitions for Unaffiliated Candidate File	3273

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

617.A State Abstracts of Votes: 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 the Secretary of State	State Board of Elections Abstracts of Votes File	49096

618.A Voting Rights Act 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
State Board of Elections	Voting Rights Act Preclearance Letters and Documents File	30620

621.A Awards: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Certificate Requests File	50190

622.A Clemency: Transfer to the State Records Center when reference value ends. Records will be held for agency 75 additional years and then transferred to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Commutations File	33997
	Governor’s Clemency Office Miscellaneous Inmate Correspondence File	33999
	Governor’s Clemency Office Miscellaneous Inmate Correspondence (Death Row Cases) File	47828
	Pardons File	34000

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

623.A Communications: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Boards and Commissions Director’s Correspondence File	48944
	Chief of Staff Correspondence File	48701
	Correspondence File	48947
	Deputy Chief of Staff’s Correspondence File	46025
	First Spouse Executive Assistant’s Correspondence File	48694
	Gifts File	33946
	Inaugural Ball File	34950
	Press Office Director’s Correspondence File	48696
Office of the Lieutenant Governor	Correspondence File	2470


624.A Constituent Services: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Office of the Governor Constituent Services Issues Correspondence File	46104 

625.A Executive Appointments: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Boards and Commissions Permanent File	3918
	Judicial Appointments File	47827
	Legislative Appointments File	50820
Office of the Lieutenant Governor	Appointments File	2467

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

626.A Executive Orders, Disaster Declarations, and Proclamations: Transfer to the State Records Center at the end of the Governor’s administration for immediate transfer to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Office of the Governor	Executive Orders and Disaster Proclamations	33945

627.A Extraditions: Transfer annually to the State Records Center for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Extraditions File	33998
	Fugitive Warrants File	48377
	Governor’s Executive Agreements File	48378
	Rewards File	48379
	Waivers of Extradition File	48376

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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628.A Intergovernmental and External Relations: Destroy records relating to non-policy and short-term issues when reference value ends. Transfer remaining records to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Office of the Governor	Council of Governments (COGs)/Regionalism File	45953
	County Commissioners Association File	45952
	Governor to Governor Communications File	48937
	Governor’s Substance Abuse and Underage Drinking Prevention and Treatment Task Force Minutes File	50387
	Intergovernmental and External Relations Director’s Correspondence File	44238
	Intergovernmental and External Relations Washington D.C. Office Director’s Correspondence File	48934
	League of Municipalities File	45954
	National Governors Association (NGA) File	21904 48935
	NC Congressional Delegation File	48938
	North Carolina-International Meetings File	48381
	Office Administration File	123
	Presidential Communications File	48929 48936
	Southern Governors’ Association (SGA) File	21907
	Southern Growth Policies Board (SGPB) General File	44245
	Southern Growth Policies Board (SGPB) Meetings File	21910
	Southern States Energy Board (SSEB) File	21911
	Washington D.C. Office File	47910
Western Residence Board of Directors Minutes File	50440	
Office of the Lieutenant Governor	Boards and Commissions File	2466
	Senate Committee File	2469

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

629.A Legislative Management: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Council of State Governments File	21903
	Legislative Affairs Director's Correspondence File	48928
	Legislative Bill Summaries File	47163
Office of the Lieutenant Governor	Legislative Session File	14561

6210.A Ombudsmen: Transfer to the State Records Center at the end of the Governor's administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Ombudsmen File	50191

6211.A Policy and Legal: Transfer to the State Records Center at the end of the Governor's administration for immediate transfer to the custody of the Archives.


Agency	Series Title	Item Number
Office of the Governor	Death Row Cases File	47826
	Ethics Officer File	48927
	Fiscal Affairs Policy and Issues File	47935
	Legal Counsel Director's Correspondence File	48926
	Policy and Issues File	47209
	Policy Director's Correspondence File	48691
	Senior Advisor to the Governor Correspondence File	48943
	Special Topics/Projects File	34001

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


6212.A Scheduling: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Governor’s Daily and Monthly Schedule File	33947
	Invitations (Accepted) File	34135
	Invitations (Declined) File	34136
	Invitations Pending (County Folder) File	50157
	Mansion Events File	48695
	Scheduling Spreadsheet File	34138 
Office of the Lieutenant Governor	Invitations (Accepts and Declines) File	14556
	Schedule File	14555

6213.A Speeches, Press Releases, and Briefings: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Briefing Memorandums File	34544 
	Communications Working Papers File	48697
	Governor Photographs File	34035
	Governor Speeches and Interviews File	33960
	New Media File	48698 
	Newspaper Clippings File	33957
	Press Releases File	33958 
	Video File	45945
Office of the Lieutenant Governor	Photograph File	14562
	Speeches File	2474


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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6214.A Strategic Planning and Initiatives: Transfer to the State Records Center at the end of the administration for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the Governor	Correction Performance Planning Group Minutes File	37871
	Council of State Minutes File	3590
	Cultural Resources Performance Planning Group Minutes File	37872
	Economic Development and Commerce Performance Planning Group Minutes File	37873
	Education Cabinet File	45669
	Education Office Director’s Correspondence File	48941
	Education Performance Planning Group Minutes File	37874
	First Spouse’s Events File	46010
	First Spouse’s Initiatives File	34951
	Funded Programs File	47415
	General Government Performance Planning Group File	37876
	Governor’s Education Program File	35000
	Governor’s Teacher Advisory Committee	45672
	Health and Safety Performance Planning Group Minutes File	37877
	Justice Performance Planning Group Minutes File	37878
	N.C. Commission on Volunteerism and Community Service Executive Director’s Correspondence File	47411
	N.C. Commission on Volunteerism and Community Service Grant Award/Extension Correspondence File	47412
	Office of Hispanic and Latino Affairs Chronological File	46134
	Office of Hispanic and Latino Affairs Director’s Correspondence File	48692
	Office of Hispanic and Latino Affairs Subject File	46135
Office of State Planning Appalachian Regional Commission (ARC) Grants File	37870	
Policies, Procedures, and Guidelines File	37879	
Volunteerism and Community Service Reports File	47416	
(continued on following page)	Social and Economic Well-Being Performance Planning Group Minutes File	37881

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

Agency	Series Title	Item Number
Office of the Governor (cont.)	Transportation Performance Planning Group Minutes File	37882
	Volunteerism File	48942
Office of the Lieutenant Governor	Issues Research File	45449

631.A Appointments to Service: 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 the Secretary of State	Appointments File	16289
General Assembly	Senate Appointments and Confirmation File	1510
	House of Representatives Resignations and Appointments File	34938

633.P Governing and Advisory Body 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
Administrative Hearings, Office of	Human Relations Commission and Governor's Correspondence File	11050
Education, State Board of	Chairman's Correspondence File	47529
Elections, State Board of	County Boards of Elections Correspondence File	3267
Public Safety, Department of	Governor's Crime Commission Executive Director's Correspondence File	48426
	Inmate Grievance Resolution Board Director's Correspondence File	660
	Post-Release Supervision and Parole Commission Chairman's Correspondence File	10366

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

634.P Governing and Advisory Body Member Files: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Lottery Commission, North Carolina State	Lottery Commission File	47592
Natural and Cultural Resources, Department of	North Carolina Museum of Art Board of Trustees File	18853
State Bar, North Carolina	Council Members File	3232

635.P Governing and Advisory Body Minutes:

Group 1: Transfer official copy of approved minutes and attachments 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	Minutes File	49241
Administration, Department of	Domestic Violence Commission Minutes File	49914
	Martin Luther King, Jr. Commission Minutes File	49560
	North Carolina Council for Women and Youth Involvement Minutes File	4029
	North Carolina Internship Council Minutes File	49953
	State Building Commission Minutes File	32
	State Youth Advisory Council Minutes File	11536
Administrative Hearings, Office of	Human Relations Commission Minutes File	11040
Agriculture and Consumer Services, Department of	Gasoline and Oil Inspection Board Minutes File	50305
	North Carolina Agricultural Finance Authority Minutes File	50830
	N.C. Plant Conservation Board Minutes File	35564
	Soil and Water Conservation Commission Minutes File	2735
	Soil and Water Conservation District Records File	2739
	Tobacco Trust Fund Commission Minutes File	49239
Barber Examiners, State Board of	Minutes File	20971
Cemetery Commission, North Carolina	Minutes File	3987

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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Functional Schedule for North Carolina State Agencies (2020)



Agency	Series Title	Item Number
Certified Public Accountant Examiners, State Board of	Minutes File	21058
Chiropractic Examiners, State Board of	Minutes File	28882
Commerce, Department of	Economic Investment Committee (EIC) Minutes File	48382
	Morehead City Navigation and Pilotage Commission (MCNPC) Minutes File	12412
	N.C. Board of Science, Technology, and Innovation Minutes File	19685
	N.C. Seafood Industrial Park Authority Minutes File	14982
	NCWorks Commission Minutes File	48068
	Rural Electrification Authority (REA) Minutes File	4030
	Rural Infrastructure Authority File	50587
Commerce, Department of – Economic Development Partnership of North Carolina	Tax Reform Allocation Committee (TRAC) Minutes File	48383
Commerce, Department of – Economic Development Partnership of North Carolina	Economic Development Partnership Board File	14771
Community College System, North Carolina	Apprenticeship Council Minutes File	2449
	State Board of Community Colleges Minutes File	3524
Counselors, North Carolina Board of Licensed Professional	Minutes File	48357
Dental Examiners, North Carolina State Board of	Minutes File	21940
Elections, State Board of	Minutes File	3280
Electrical Contractors, State Board of Examiners of	Minutes File	20049
Electrolysis Examiners, North Carolina Board of	Minutes File	49252
Engineers and Surveyors, State Board of Examiners for	Minutes File	3899
Environmental Health Specialist Examiners, North Carolina State Board of	Minutes File	3349
Environmental Quality, Department of (continued on following page)	Coastal Resources Commission (CRC) Minutes File	4112
	Division of Air Quality Scientific Advisory Board File	34028
	Energy Policy Council Minutes File	478
	Environmental Management Commission Minutes File	2979

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Functional Schedule for North Carolina State Agencies (2020)




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Agency	Series Title	Item Number
Environmental Quality, Department of (cont.)	Marine Fisheries Commission Minutes File	17512
	Oil and Gas Commission Minutes File	50306
	Sedimentation Control Commission Minutes File	4102
Equal Access to Justice Commission	Minutes File	49781
Ethics Commission, North Carolina State	General Account of Closed Sessions File	3888
	Public Meetings (Open Sessions) Minutes File	3887
Foresters, North Carolina State Board of Registration for	Minutes File	4012
Funeral Service, North Carolina Board of	Minutes File	21849
Geologists, North Carolina Board for Licensing of	Minutes File	26944
Golden Leaf Foundation	Board of Directors Minutes File	47697
Health and Human Services, Department of	Commission for the Blind Minutes File	6473
	Commission of Anatomy Minutes File	48903
	Medical Care Commission Minutes File	1709
	North Carolina Board of Employee Assistance Professionals Minutes File	50307
	Social Services Commission Minutes File	2133
	State Health Coordinating Council Minutes File	7720
	Vocational Rehabilitation Council Minutes File	46032
Well Contractor Certification Commission File	49089	
Hearing Aid Dealers and Fitters Board, North Carolina State	Board Minutes File	4136
Housing Finance Agency, North Carolina	Board of Directors Minutes File	3894
Indian Housing Authority, North Carolina	Minutes File	50308
Indigent Defense Services, Office of	Commission on Indigent Defense Services Minutes File	50828
Information Technology, Department of	Criminal Justice Information Network Governing Board Minutes File	50013
	North Carolina Geographic Information Coordinating Council Minutes File	36011
	North Carolina 911 Board Minutes File	50756




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Functional Schedule for North Carolina State Agencies (2020)



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Agency	Series Title	Item Number
Insurance, Department of	Code Official Qualifications Board Minutes File	10167
	Fire and Rescue Commission Minutes File	24011
	Home Inspector Licensure Board Minutes File	45724
	North Carolina Building Code Council Minutes File	3523
	North Carolina Manufactured Housing Board Minutes File	24019
	Public Officers and Employees Liability Insurance Commission Minutes File	23999 
Interpreter and Transliterators Licensing Board, North Carolina	Minutes File	50812
Irrigation Contractors' Licensing Board, North Carolina	Minutes File	50744
Judicial Standards Commission	Minutes File	50540
Labor, Department of	Boiler Safety Bureau Minutes File	2452
Landscape Architects, North Carolina Board of	Minutes File	3319
Landscape Contractors' Licensing Board, North Carolina	Minutes File	50302
Locksmith Licensing Board, North Carolina	Minutes File	49253
Lottery Commission, North Carolina State	Minutes File	47593
Marriage and Family Therapy Licensure Board, North Carolina	Minutes File	4005
Medical Board, North Carolina	Minutes File	20103
Military and Veterans Affairs, Department of	State Veterans Affairs Commission Minutes File	3982
Natural and Cultural Resources, Department of	Ad Hoc Commissions and Boards File	13043
	African-American Heritage Commission Minutes File	49912
	Clean Water Management Trust Fund Board of Trustees Minutes File	49895
	North Carolina Arts Council Minutes File	3588
	North Carolina Historical Commission File	13031
	North Carolina Parks and Recreation Authority Minutes File	35168
	North Carolina Symphony Society Minutes File	18695
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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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Functional Schedule for North Carolina State Agencies (2020)



Agency	Series Title	Item Number
Natural and Cultural Resources, Department of (cont.)	Roanoke Island Commission Minutes File	49894
	State Historical Records Advisory Board (SHRAB) Minutes File	47241
	Tryon Palace Commission Minutes File	835
	U.S.S. North Carolina Battleship Commission Minutes File	35706
Nursing, North Carolina Board of	Midwifery Joint Committee Minutes File	43799
	Minutes of the Board of Nursing File	21005
Nursing Home Administrators, State Board of Examiners for	Minutes File	4117
Occupational Safety and Health Review Commission, North Carolina	Minutes File	6001
On-Site Wastewater Contractors and Inspectors Certification Board, North Carolina	Minutes File	49467
Opticians, North Carolina State Board of	Minutes File	3995
Optometry, North Carolina State Board of Examiners in	Minutes File	3340
Pastoral Counselors, North Carolina State Board of Examiners of Fee-Based Practicing	Minutes File	49547
Physical Therapy Examiners, North Carolina Board of	Minutes File	21988
Plumbing, Heating, and Fire Sprinkler Contractors, State Board of Examiners of	Minutes File	37942
Podiatry Examiners, North Carolina Board of	Minutes File	49810
Psychology Board, North Carolina	Minutes File	3622
Public Instruction, Department of	Governor Morehead School Board Minutes File	2204
	North Carolina Center for the Advancement of Teaching (NCCAT) Board of Trustees Minutes File	49995
	State Board of Education Minutes File	1073
Public Librarian Certification Commission	Minutes Files	899
Public Safety, Department of	Governor’s Crime Commission Minutes File	719

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Functional Schedule for North Carolina State Agencies (2020)



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Agency	Series Title	Item Number
Public Safety, Department of (cont.)	IT Division Advisory Policy Board Minutes File	22755
	North Carolina Alcoholic Beverage Control Commission Minutes File	315
	Post-Release Supervision and Parole Commission Minutes File	50309
	State Emergency Response Commission (SERC) Minutes File	47962 
Real Estate Commission, North Carolina	Minutes File	3345
Recreational Therapy Licensure, North Carolina Board of	Minutes File	49799
Refrigeration Contractors, State Board of	Minutes File	20885
Respiratory Care Board, North Carolina	Minutes File	50452
Revenue, Department of	Property Tax Commission Minutes File	4135
Secretary of State, Department of the	North Carolina Constitutional Amendments Publication Commission Minutes File	50875
	Property Mappers Association Minutes File	36757
Sentencing and Policy Advisory Commission, North Carolina	Minutes File	39235
Social Work Certification and Licensure Board, North Carolina	Minutes File	31170
Soil Scientists, North Carolina Board for Licensing of	Minutes File	49809
State Bar, North Carolina	Council of the State Bar Minutes File	3229
State Human Resources, Office of	State Human Resources Commission Minutes File	166
State Treasurer, Department of	Investment Advisory Committee Minutes File	16223
	Local Government Commission Minutes File	16361
	N.C. Higher Educational Facilities Finance Agency Minutes File	31949
	N.C. Solid Waste Management Capital Projects Financing Agency Minutes File	31950
	Retirement Systems Board of Trustees Minutes File	16274
	State Health Plan Board of Trustees Minutes File	20797
	Supplemental Retirement Board of Trustees Minutes File	48647

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Functional Schedule for North Carolina State Agencies (2020)



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Agency	Series Title	Item Number
Substance Abuse Professional Practice Board, North Carolina	Minutes File	49668
Transportation, Department of	Board of Transportation Minutes File	4003
	Global Transpark Authority Minutes File	50310
	Turnpike Authority Board Minutes File	49092
Veterinary Medical Board, North Carolina	Minutes File	49675
Water Treatment Facility Operators Certification Board, North Carolina	Minutes File	19733
Wildlife Resources Commission	Minutes File	20562

Group 2P: At the end of each fiscal year, transfer a copy of all approved minutes and attachments to the State Records Center. Records will be permanently held for agency in security storage. The original copies of approved minutes and attachments shall be retained in office permanently.

Agency	Series Title	Item Number
Administration, Department of	Academic Standards Review Commission Minutes File	49962
	Governor’s Council on Historically Underutilized Businesses	50097
	License to Give Trust Fund Commission Minutes File	49989
	North Carolina Capital Planning Commission Minutes File	11305
	Oregon Inlet Land Acquisition Task Force Minutes File	49990
Administrative Office of the Courts	State Judicial Council Minutes File	3884
Agriculture and Consumer Services, Department of	Agricultural Hall of Fame Minutes File	50311
	Food Processing Innovation Center Committee Minutes File	50822
	Forestry Council Minutes File	50312
	Industrial Hemp Commission Minutes File	50823
	North Carolina Agricultural Task Force Minutes File	17303
	North Carolina Sustainable Local Food Advisory Board Minutes File	50829
Appraisal Board, North Carolina	Minutes File	37823
Commerce, Department of	Credit Union Commission Minutes File	4061
Community College System, North Carolina	Community College Libraries in NC Steering Committee Minutes File	50874

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Functional Schedule for North Carolina State Agencies (2020)



Community College System, North Carolina (cont.)	State Board of Proprietary Schools Minutes File	50304
Dietetics/Nutrition, North Carolina Board of	Minutes File	50236
Environmental Quality, Department of	Western NC Public Lands Council Minutes File	50313
General Contractors, State Licensing Board for	Minutes File	21837
Health and Human Services, Department of	Advisory Committee on Cancer Coordination and Control (ACCCC) Minutes File	50347
	Child Care Commission Minutes File	7754
	Commission for Mental Health, Developmental Disabilities, and Substance Abuse Services Minutes File	1887
	Council for the Deaf and the Hard of Hearing Minutes File	49009
	Council on Development Disabilities Minutes File	1586
	Council on Sickle Cell Syndrome Minutes File	33635
	Diabetes Advisory Council Minutes File	49093
	Emergency Medical Services Advisory Council Minutes File	3511
	Governor's Advisory Council on Aging Minutes File	1627
	Minority Health Advisory Council Minutes File	49095
	North Carolina Radiation Protection Commission (NCRPC) Minutes File	1746
	Justus-Warren Heart Disease and Stroke Prevention Task Force Minutes File	49094
Traumatic Brain Injury Advisory Council Minutes File	49011	
Housing Finance Agency, North Carolina	North Carolina Housing Partnership Board Minutes File	19645
Industrial Commission, North Carolina	Minutes File	13421
Justice, Department of	North Carolina Criminal Justice Education and Training Standards Commission Minutes File	3504
	North Carolina Sheriffs' Education and Training Standards Commission (NCSETSC) Minutes File	17077
Labor, Department of	Occupational Safety and Health Advisory Council Minutes File	35327
Military and Veterans Affairs, Department of	North Carolina Military Affairs Commission Minutes File	50827
Natural and Cultural Resources, Department of	Executive Mansion Fine Arts Committee Minutes File	47710
	North Carolina Awards Committee Minutes File	49884
	North Carolina Museum of Art Board of Trustees Minutes File	3451
	North Carolina Natural Science Museum Advisory Board Minutes File	37404
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Functional Schedule for North Carolina State Agencies (2020)




Natural and Cultural Resources, Department of (cont.)	North Carolina Zoological Park Council Minutes File	23673
	State Library Commission Minutes File	904
Pharmacy, North Carolina Board of	Minutes File	4031
Public Instruction, Department of	Council on Educational Services for Exceptional Children (CESEC) Committee Minutes File	31960
	North Carolina Charter Schools Advisory Board Minutes File	50014
	North Carolina Council for the Interstate Compact on Educational Opportunity for Military Children Minutes File	49561
	North Carolina Professional Educator Preparation and Standards Commission Minutes File	47009
	North Carolina Textbook Commission Minutes File	46107
	State Advisory Council on Indian Education Minutes File	49562
	Task Force for Safer Schools Minutes File	50348
Secretary of State, Department of the	Electoral College Meeting Minutes File	50839
	Electronic Recording Council Minutes File	50838
	Land Records Advisory Committee Minutes File	10917
	Secretary of State's Advisory Council on Legislative Lobbying Policy and Regulation	50840
Speech and Language Pathologists and Audiologists, Board of Examiners for	Minutes File	49548

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Group 2M: At the end of each fiscal year, transfer a copy of all approved minutes and attachments to the State Records Center to be microfilmed. The agency will be responsible for the cost of microfilming, and the paper records will be destroyed after microfilming. The microfilm will be permanently held for agency in security storage. The original copies of approved minutes and attachments shall be retained in office permanently. [NOTE: If the agency prefers to transfer the original copies of minutes temporarily to be microfilmed and then returned to the agency, please contact your records analyst to make these arrangements.]

Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of (continued on following page)	Agricultural Development and Farmland Preservation Trust Fund Advisory Committee Minutes File	50356
	N.C. Board of Agriculture Minutes File	23997

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Functional Schedule for North Carolina State Agencies (2020)




Agriculture and Consumer Services, Department of (cont.)	North Carolina Pesticide Board and Advisory Committee Minutes File	9076
	Structural Pest Control Committee Minutes File	9152
Public Safety, Department of	Alarm Systems Licensing Board Minutes File	39699
	Governor’s Crime Commission: Juvenile Justice Planning Committee Minutes File	49563
	Inmate Grievance Resolution Board Minutes File	10297
	Private Protective Services Board Minutes File	39715

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Group 3: Retain in office permanently approved minutes and attachments. (NOTE: Records from merged entities should go to the successor agency; records from dissolved entities should be transferred to the State Archives of North Carolina.)

Agency	Series Title
Administration, Department of	Commission on Inclusion Minutes File
	North Carolina Advisory Council on the Eastern Band of the Cherokee Minutes File
	North Carolina State Commission of Indian Affairs Minutes File
Agriculture and Consumer Services, Department of	Animal Disease Diagnostic Laboratory Advisory Committee Minutes File
Architecture, North Carolina Board of	Minutes File
Athletic Trainer Examiners, North Carolina Board of	Minutes File
Auctioneer Licensing Board, North Carolina	Minutes File
Banks, Office of the Commissioner of	Banking Commission Meeting Records File
	Minutes of the Advisory Commission and Orders of the Commissioner of Banks File
Boxing Commission, North Carolina	Minutes File
Cape Fear Navigation and Pilotage Commission	Minutes File
Chief Justice's Commission on Professionalism	Minutes File
Commerce, Department of	Underground Damage Prevention Review Board Minutes File
Cosmetic Art Examiners, Board of	Minutes File
Dispute Resolution Commission	Minutes File
District Attorneys, Conference of	Executive Committee Minutes File
Environmental Quality, Department of	Coastal Resources Advisory Council Minutes File
Health and Human Services, Department of (continued on following page)	Commission for Public Health Minutes File
	Interagency Committee on Low-Level Radioactive Waste Minutes File

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
Health and Human Services, Department of (cont.)	Interagency Coordinating Council for Children from Birth to Five with Disabilities and Their Families Minutes File
	North Carolina Refugee Assistance Program Minutes File
	Opioid and Prescription Drug Abuse Advisory Council Minutes File
Justice, Department of	Forensic Science Advisory Board Minutes File
Law Examiners, Board of	Minutes File //
Local Health Department Accreditation Program, North Carolina	Minutes File
Massage and Bodywork Therapy, North Carolina Board of	Minutes File
Natural and Cultural Resources, Department of	Library Depository System Advisory Board Minutes File
	Local North Carolina Aquarium Advisory Committees Minutes File
	N.C. Highway Historical Marker Advisory Committee File
	North Carolina Trails Committee Minutes File
	Zoological Park Building Committee Minutes File
Occupational Therapy, North Carolina Board of	Minutes File //
Public Instruction, Department of	Basic Education Plan Advisory Committee Minutes File
	North Carolina Governor’s School Board of Governors Minutes File
	State Accreditation Committee Minutes File
Public Safety, Department of	Correctional Facility Community Resource Councils Minutes File
	Governor’s Crime Commission: Crime Victims’ Services Committee Minutes File
	North Carolina Advisory Committee on Religious Ministry in Prisons Minutes File
	N.C. Reserve Forces Facilities Board Minutes File
Transportation, Department of	North Carolina State Ports Authority Board of Directors Meetings File
Utilities Commission, North Carolina	Minutes File //
Wildlife Resources Commission	Beaver Damage Control Advisory Board Minutes File
	Nongame Advisory Committee Minutes File
	Outdoor Heritage Advisory Council Minutes File

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636.A Oaths of Office: 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 the Secretary of State	Handwritten Listing of Oaths of Office File	15609
	Oaths of Office File	2906
General Assembly	House of Representatives Oaths of Office Ledgers File	1489
	Senate Oaths of Office Ledger File	4129

637.10 Statements of Economic Interest: Transfer to the State Records Center 5 years after December 31 of the filing year. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
North Carolina State Ethics Commission	Statements of Economic Interest (SEI) File	21537

641.A Administrative Code: Transfer to the State Records Center after 3 years. Records will be held for agency 50 additional years and then transferred to the custody of the Archives.

Agency	Series Title	Item Number
Office of Administrative Hearings	North Carolina Administrative Code History File	3680
	Rules Review Commission Notebooks File	19125

642.A General Assembly Messages: 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	Messages Sent to the House File	1513

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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643.P Government Affairs 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 Administration	Commission of Indian Affairs Tribal Organizations File	74

644.A House and Senate Proceedings: 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 the Secretary of State	House Journals File	3673
	Senate Journals File	3674
General Assembly	House of Representatives Legislative Procedures File	1492
	Senate Daily Legislative Session Audio Recordings File	1511 

645.A Legislation: Transfer electronic recordings to the State Records Center at the end of each biennium session for immediate transfer to the custody of the Archives. Transfer paper records 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 the Secretary of State	Passed House Bills, Senate Bills, and Resolutions File	2899
	Ratified Acts and Resolutions File	15607
General Assembly	Bill Books File	25890
	Bill Status Printouts File ¹	1495
	Bills/Resolutions Not Enrolled File	1507
	Failed to Pass Bills File	1491
	Senate Legislative Card Index File	1514

¹ Transfer to the State Records Center after 2 years to be microfilmed. Paper records will be destroyed after microfilming. Microfilm will be transferred to custody of the Archives.

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646.A Legislative Committee Records: Transfer to the State Records Center when reference value ends. Records will be held for agency 25 additional years and then transferred to the custody of the Archives.

Agency	Series Title	Item Number
General Assembly	General Statutes Commission File	2365
	General Statutes Commission Minutes File	3692
	Inactive Dockets File	2364
	Legislative Services Commission Minutes File	25889
	Standing Committee Notebooks File ¹	25894
	Study and Non-Standing Committee Notebooks ¹	25895
	Study Committee Reports File	25896

¹ Transfer paper records to the State Records Center after 2 years to be microfilmed for permanent security storage. A copy of the digital images and microfilm will be purchased by the agency. Paper records will be destroyed in the State Records Center after microfilming.

647.A Petitions: 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	Original Petition File	1512

648.A Roll Calls and Electronic Votes: Transfer to the State Records Center after 2 years to be microfilmed. Paper records will be destroyed after microfilming. Microfilm will be transferred to custody of the Archives.

Agency	Series Title	Item Number
General Assembly	House of Representatives Roll Calls and Electronic Votes File	1494
	Senate Roll Calls and Electronic Votes File	1509

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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7. Healthcare

The function of Healthcare entails the maintaining and restoration of health by the treatment and prevention of disease. The State Veterans Homes (within the Department of Military and Veterans Affairs), the Division of State Operated Healthcare Facilities (DSOHF, within the Department of Health and Human Services [DHHS]), and the Division of Adult Correction and Juvenile Justice (within the Department of Public Safety) provide medical care to patients and residents in their facilities. The DHHS Central Billing Office handles financial records for DSOHF. The Office of the Chief Medical Examiner and the State Laboratory of Public Health under DHHS also perform health-related research that is addressed on this schedule.

NOTE: For employee medical records, see HUMAN RESOURCES.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 7.1 Administration of Healthcare Facilities
 - 711 Facility Advocate Records
 - 712 HIPAA Policies
 - 713 Infection Control Records
 - 714 Patient Safety Organization Records
 - 715 Performance Improvement and Quality Assurance Records
 - 716 Registers and Logbooks
 - 717 Scheduling Records
- 7.2 Business Office and Patients'/Residents' Financial Records
 - 721 Adjusted Patient Accounts
 - 722 Daily Charge Reports
 - 723 Insurance Claims Reports
 - 724 Medicaid and Medicare Records
 - 725 Patient Financial Records
 - 726 Payment Vouchers
- 7.3 Clinical Records
 - 731 Admission/Discharge/Transfer Reports
 - 732 Adult Clinical Records
 - 733 Central Sterile Supply Records
 - 734 Correspondence Log
 - 735 Dental Records
 - 736 Master Patient Index
 - 737 Pediatric Clinical Records

- 738 Transcription Logs
- 7.4 Health-Related Research and Data
 - 741 Communicable Disease Records
 - 742 Environmental Sciences Testing Records
 - 743 Health Monitoring Programs
 - 744 Immunization Registry (NCIR)
- 7.5 Laboratory Services
 - 751 Accession Records
 - 752 Analytic Systems Records
 - 753 Autopsy Records
 - 754 Blood Bank Records
 - 755 Cytology Records
 - 756 Laboratory Register
 - 757 Proficiency Testing
 - 758 Quality Control
 - 759 Test Procedures
 - 7510 Toxicology Records
- 7.6 Nuclear Medicine, Radiation Therapy, and Radiology Records
 - 761 Cardiac Catheter Records
 - 762 Daily Statistical Sheets and Logs
 - 763 Imaging Services and Radiographic Records
- 7.7 Nursing Services
 - 771 Call-In Reports
 - 772 Daily Staffing Records
 - 773 Emergency Department Log
 - 774 Emergency Equipment Checklists
 - 775 Float Rosters
 - 776 Floor Census Records
 - 777 Observation Logs
 - 778 Private Duty Call Lists
- 7.8 Pharmacy Records
 - 781 Adverse Drug Reaction Reports
 - 782 Drug Disposal Records
 - 783 Drug Distribution Records

- 784 Drug Inventories
- 785 Insurance Claim Records
- 786 Medication Storage and Environment Inspection Reports
- 787 Patient Medication Profile
- 788 Prescription Orders
- 789 Schedule II, III, IV, and V Narcotics Records
- 7.9 Social Services and Acute Care Records
 - 791 Approval for Nursing Home Placement Records
 - 792 Children’s Developmental Service Agency (CDSA) Patient Clinical Records
 - 793 Patient Tracking Records
 - 794 Referrals to County Department of Social Services
- 7.10 Utilization Review Records
 - 7101 Daily Medicare and Medicaid Logs
 - 7102 Financial Classification Logs
 - 7103 Patient Abstract Records
 - 7104 Private Paid Discharge Records
 - 7105 Transfer and Discharge Lists
 - 7106 Utilization Review Plans

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>.

The trigger for the retention period for Healthcare records is usually the date of the last encounter, so it is useful to be able to sort inactive records based on these dates. The records documenting aid provided by the Centers for Medicare and Medicaid Services (CMS) are required by the DHHS Office of the Controller to be retained for 10 years; in cases where this retention is longer than that specified in this schedule, the records must be retained according to the more stringent requirement.

This schedule applies to medical records in both paper and electronic formats. In accordance with G.S. § 131E-97, all medical records compiled and maintained at DHHS facilities are confidential and exempt from public inspection. The 1972 NC Court of Appeals decision in *Goble v. Bounds* (13 N.C. App. 579) affirmed that prison records of inmates are confidential and not subject to inspection by the public. G.S. § 8-53 confers confidentiality on communications between physicians and their patients. 42 USC 1320d-2(d)(2) establishes safeguards related to the maintenance and transmittal of health information to ensure its confidentiality, and the HIPAA Privacy Rule (45 CFR Parts 160 and 164) establishes national standards to protect individuals’ medical records and other personal health information maintained by health care providers that conduct certain health care transactions electronically in an electronic health record (EHR). In addition, the HIPAA Privacy Rule protects the individually identifiable health

information about a decedent for 50 years following the date of death of the individual (see paragraph (2)(iv) of the definition of “Protected health information” in 45 CFR 160.103). Rather than list these citations beside each individual record, the lock symbol indicates confidentiality under this legislation; any *additional* confidentiality provisions are noted in the citation column.




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.

7.1 Administration of Healthcare Facilities


DEFINED: Activities related to the oversight of healthcare provision.

SEE ALSO: Surveillance records for chronic and communicable diseases are under Health-Related Research (7.4). Facility accreditation records are under AGENCY MANAGEMENT. Business associate agreements are under LEGAL.

7.1

RC No.	Record Types	Description	Disposition Instructions	Citation
711.5 	Facility Advocate Records	records of advocates placed in facilities; includes reports and investigations regarding rights protection of individuals	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 122C-52
712.6	HIPAA Policies SEE ALSO: Agency Policies (AGENCY MANAGEMENT), Contracts (LEGAL)	facility policies and procedures to align with the requirements of the Health Insurance Portability and Accountability Act (HIPAA)	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	<u>Retention</u> 45 CFR 164.316(b)(2) 45 CFR 164.530(j)
713.5	Infection Control Records	records created and/or received by a facility’s infection control program; includes investigative reports, surveillance records and logs, infection control reports <i>NOTE: Records concerning employees who may have been or were exposed to a communicable disease should be transferred to the Personnel file.</i>	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
714.10 	Patient Safety Organization Records	records created by Division of State Operated Healthcare Facilities to oversee data sharing and patient safety initiatives; includes event investigations, root cause analyses, and other related patient safety work product (PSWP)	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> 42 CFR 3.204 42 CFR 3.206
715.10 	Performance Improvement and Quality Assurance Records (continued on following page)	incident analyses and reports; includes medication error reports, occurrence reports, and performance improvement plans	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> G.S. § 122C-191(e)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
715.3	Performance Improvement and Quality Assurance Records (cont.)	formal and informal data collection logs and records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
716.P	Registers and Logbooks	includes master patient index (MPI) documenting patient registration, medical record number, and date(s) of admission; also includes admission and death registers	PERMANENT	
717.5	Scheduling Records SEE ALSO: Daily Staffing Records, Float Rosters (below)	schedules for medical personnel including physicians, medical aides, nursing staff, and other support personnel who provide medical treatment	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
717.S 		lists of all patients seen or scheduled to be seen by medical personnel and labs	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	








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

7.2 Business Office and Patients'/Residents' Financial Records

DEFINED: Activities concerning insurance claims and payments, Medicare and Medicaid disbursements, medical bills, and other financial activities for patients/residents served by a state operated healthcare facility.

SEE ALSO: Routine facility financial records that are not related to patients or residents are under FINANCIAL MANAGEMENT.

7.2

RC No.	Record Types	Description	Disposition Instructions	Citation
721.10 	Adjusted Patient Accounts	records of adjustments to patients' bills and insurance claims	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	
722.5 	Daily Charge Reports	report summarizing charges to daily in-patients	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
723.10 	Insurance Claims Reports	claim forms submitted to insurance companies; also includes reports summarizing unpaid insurance claims	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	
724.10 	Medicaid and Medicare Records	logs listing payments made to healthcare providers and indicating the accounts to which they are posted; also includes disbursement reports and bad debt Medicare logs	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
725.10 	Patient Financial Records	records documenting paid balances and refunds for patients/residents receiving Medicaid/Medicare benefits	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
725.3 		records documenting paid balances and refunds issued to patients/residents or insurance companies	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
726.3 	Payment Vouchers	vouchers for payments received from patients and insurance companies	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	

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

7.3 Clinical Records

DEFINED: Records concerning patient/resident care at state operated healthcare facilities or provided by state counselors. 10A NCAC 26D .0703 specifies the contents of the client record for patients/residents in DSOHF facilities, as does 14B NCAC 11C .0404 for those of inmates in the custody of the Division of Adult Correction and Juvenile Justice.




NOTE: In cases where outside hospitals or providers are used to provide tests or procedures, those providers retain the original medical records that must be retained and the copies held within DSOHF or DPS clinical records are reference copies used for the purpose of follow-up treatment.

SEE ALSO: Staff meeting minutes are under AGENCY MANAGEMENT. Safety data sheets are under RISK MANAGEMENT.



7.3

RC No.	Record Types	Description	Disposition Instructions	Citation
731.P	Admission/Discharge/Transfer Reports	records documenting the admission, discharge, and transfer of patients/residents; includes lists of patient’s name, age, sex, race, address, financial class, services received, admitting doctor, date admitted, date discharged, date transferred, floor, room, and other related information	PERMANENT	<u>Retention</u> APSM 45-3, p.126



* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
732.11 ₁ 	Adult Clinical Records: includes admission records, physical examination and laboratory reports, medical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records	patient clinical records for adults admitted to a hospital or seen at an outpatient clinic	RETAIN UNTIL: Last encounter PLUS: 11 years Ω THEN: Destroy*	<u>Authority</u> 10A NCAC 13B .3903(d) 10A NCAC 28F .0605 14B NCAC 11C .0404(a) <u>Confidentiality</u> G.S. § 122C-52 14B NCAC 11C .0404(b) <u>Retention</u> 10A NCAC 13B .3903(a)
732.11 ₂ 		resident clinical records for adults diagnosed with intellectual disabilities	RETAIN UNTIL: Death of client PLUS: 11 years THEN: Destroy*	<u>Authority</u> 10A NCAC 13B .5204 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52
732.5 		resident clinical records for adults admitted to a nursing facility	RETAIN UNTIL: Last encounter PLUS: 5 years THEN: Destroy*	<u>Authority</u> 10A NCAC 13D .2401 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52 <u>Retention</u> 10A NCAC 13D .2402(a)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
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
733.5	Central Sterile Supply Records	records concerning the proper functioning of autoclave equipment; includes mechanical, chemical, and biological monitor notebooks and sterilizer logs and tests	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
734.6	Correspondence Log	logs and records detailing patient-related correspondence that is not part of the clinical record	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	
735.10 	Dental Records	records concerning dental treatments; includes tests and diagnoses, treatments, prescriptions, treatment plans, and other related records	RETAIN UNTIL: Last encounter PLUS: 10 years THEN: Destroy*	<u>Authority/Retention</u> 21 NCAC 16T .0101
736.P	Master Patient Index	medical record index listing patients' names, discharge dates, medical record numbers, dates of service, financial class, attending physicians' names, procedures performed, diagnostic and procedural codes, and other related information	PERMANENT	
737.< 	Pediatric Clinical Records: includes admission records, physical examination and laboratory reports, medical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records	patient clinical records for those from birth to 18 years of age admitted to a hospital or seen at an outpatient clinic	RETAIN UNTIL: Patient reaches age 30 THEN: Destroy* <i>NOTE: Records must be retained 11 years after last encounter at hospital.</i>	<u>Authority</u> 10A NCAC 13B .3903(d) 10A NCAC 28F .0605 14B NCAC 11C .0404(a) <u>Confidentiality</u> G.S. § 122C-52 14B NCAC 11C .0404(b) <u>Retention</u> 10A NCAC 13B .3903(b)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
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
737.< 	Pediatric Clinical Records (cont.)	resident clinical records for those from birth to 18 years of age diagnosed with intellectual disabilities	RETAIN UNTIL: Death of client THEN: Destroy* <i>NOTE: Records must be retained 11 years after last encounter.</i>	<u>Authority</u> 10A NCAC 13B .5204 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52
737.4 		resident clinical records for those from birth to 18 years of age admitted to a nursing facility	RETAIN UNTIL: Last encounter PLUS: 4 years THEN: Destroy* <i>NOTE: Records must be retained until the patient reaches 19 years of age in addition to this minimum time requirement.</i>	<u>Authority</u> 10A NCAC 13D .2401 10A NCAC 28F .0605 <u>Confidentiality</u> G.S. § 122C-52 <u>Retention</u> 10A NCAC 13D .2402(b)
738.<	Transcription Logs	logs detailing transcription activities for physicians' notes	RETAIN UNTIL: Complete PLUS: 6 months THEN: Destroy	




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

7.4 Health-Related Research and Data



DEFINED: Activities related to the promotion, protection, and assurance of the health of North Carolina constituents. 10A NCAC 41A .0101, as authorized by G.S. § 130A-134, lists the diseases and conditions declared to be dangerous to the public health and required to be reported to the DHHS Communicable Disease Branch. The clinical records of individual patients are confidential, pursuant to HIPAA and specific State laws cited below; reports produced by DHHS use only de-identified data (and are included on the AGENCY MANAGEMENT schedule).

7.4

SEE ALSO: Reports received by DHHS from local health departments are under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
741.P 	Communicable Disease Records	records accumulated by the Department of Health and Human Services concerning NC residents diagnosed with tuberculosis or typhoid	PERMANENT	<u>Authority</u> 10A NCAC 41A .0101
741.< 		records accumulated by the Department of Health and Human Services concerning chronic disease cases, including human immunodeficiency virus (HIV), hepatitis B, and hepatitis C	RETAIN UNTIL: Death of client THEN: Destroy	<u>Confidentiality</u> G.S. § 130A-143 42 USC 1320d-2(d)(2)
741.5 		records accumulated by the Department of Health and Human Services concerning diagnoses and case surveillance for other communicable diseases	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
742.10	Environmental Sciences Testing Records	records accumulated by the Department of Health and Human Services concerning the analysis of environmental samples for radioisotope presence	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
742.5		records accumulated by the Department of Health and Human Services concerning the bacteriologic, chemical, and fluoride analyses of water samples	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
743.2 	Health Monitoring Programs	records accumulated by the Department of Health and Human Services about chronic disease and other health issues; includes incidence reporting and other surveillance methods	RETAIN UNTIL: Received PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> G.S. § 130A-131.17 G.S. § 130A-212 G.S. § 130A-374 G.S. § 130A-476(e) G.S. § 130A-480(b) 10A NCAC 47B .0103 10A NCAC 47C .0105
744.P 	Immunization Registry (NCIR)	records accumulated by the Department of Health and Human Services regarding immunizations administered in North Carolina	PERMANENT	<u>Authority</u> G.S. § 130A-153


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

7.5 Laboratory Services




DEFINED: Records concerning laboratory services and analyses conducted by state operated healthcare facilities, the North Carolina State Laboratory of Public Health, and the Office of the Chief Medical Examiner.

7.5

SEE ALSO: Reports from laboratory analyses for patients are incorporated into the Adult and Pediatric Clinical Records. Test reports that are subject to Medicaid requirements should be handled according to the Grants Management schedule under FINANCIAL MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
751.2	Accession Records	records concerning chain of custody of laboratory samples	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
752.2	Analytic Systems Records	records documenting all analytic systems activities; includes worksheets, specimen logs, and instrument printouts	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(3)
753.60 ₁	Autopsy Records	microscopic slides, paraffin blocks, and x-rays produced by/for the Office of the Chief Medical Examiner	RETAIN UNTIL: Complete PLUS: 60 years Ω THEN: Destroy	<u>Authority</u> G.S. § 130A-389 G.S. § 130A-389.1 G.S. § 132-1.8
753.60 ₂ 		reports, photographs, and video or audio recordings of autopsies produced by/for the Office of the Chief Medical Examiner		

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
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
754.10 	Blood Bank Records	records used to monitor the process by which blood products are made available and used; includes donor information and informed consent forms; records concerning the storage, distribution, and visual inspection of blood products; compatibility testing; component preparation; therapeutic bleedings; and immunizations; also includes blood collection and processing results, interpretations of tests, labeling, emergency releases of blood, and equipment calibration and performance checks; also includes transfusion reaction reports and complaints, investigations, errors and accident records, difficulties in blood typing reports, exposures to transmissible diseases, supplies and reagents, and final disposition reports of blood products	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy <i>NOTE: Records should be destroyed no less than 10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever occurs later.</i>	<u>Authority</u> 21 CFR 606.160 21 CFR 606.165 21 CFR 606.170 <u>Confidentiality</u> G.S. § 131E-97 <u>Retention</u> 21 CFR 606.160(d)
754.P		records concerning blood products with no expiration date	PERMANENT	
754.<		records used to identify unsuitable donors so that their blood products will not be distributed	RETAIN UNTIL: Death of donor THEN: Destroy	<u>Authority</u> 21 CFR 606.160(e)
755.10 	Cytology Records	fine needle aspiration slides	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
755.5 		stained slides; includes both negative/unsatisfactory and positive/suspicious samples	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
756.P	Laboratory Register (continued on following page)	log of laboratory tests performed for clinical care	PERMANENT	

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



7.5

RC No.	Record Types	Description	Disposition Instructions	Citation
756.5	Laboratory Register (cont.)	newborn screening collection forms	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
756.2		test requisitions and test authorizations	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(1)
757.2	Proficiency Testing	records used to attest the handling, preparation, processing, examination, and reporting of results of all proficiency testing; includes testing report forms, records documenting testing failures and corrective actions, and other related records	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(4)
758.2	Quality Control	records documenting a laboratory's quality control procedures; includes routine surveys and maintenance records, instrument calibrations, instrument/reagent correlations studies, quality control tests, silver recovery records, and other related records	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(5)
		method validation and performance verification studies	RETAIN UNTIL: Test system discontinued PLUS: 2 years THEN: Destroy <i>NOTE: These records must be retained at least 2 years.</i>	<u>Retention</u> 42 CFR 493.1105(a)(3)
759.2	Test Procedures	standard operating procedures and policies related to lab testing	RETAIN UNTIL: Discontinued PLUS: 2 years THEN: Destroy	<u>Retention</u> 42 CFR 493.1105(a)(2)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
7510.4	Toxicology Records	records produced by the Office of the Chief Medical Examiner; includes request for analysis, chain of custody, data sheets, analyst's worksheets, and other related records	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	

7.5

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




7.6 Nuclear Medicine, Radiation Therapy, and Radiology Records

DEFINED: Records concerning patient x-rays, radiation treatments, and similar activities at the state operated healthcare facility.

NOTE: In cases where outside hospitals or providers are used to provide tests or procedures, those providers retain the original medical records that must be retained and the copies held within DSOHF or DPS clinical records are reference copies used for the purpose of follow-up treatment.

SEE ALSO: Reports from electronic radiographic cases, nuclear medicine exams, and imaging diagnostic tests are incorporated into the Adult and Pediatric Clinical Records. Inspections of radiation protection programs are under MONITORING AND COMPLIANCE. Employee exposure records are under RISK MANAGEMENT.

7.6

RC No.	Record Types	Description	Disposition Instructions	Citation
761.11 	Cardiac Catheter Records	tests on coronary arteries of adult patients; includes film and electronic images produced during procedure	RETAIN UNTIL: Last encounter PLUS: 11 years THEN: Destroy*	
761.< 	SEE ALSO: Adult Clinical Records, Pediatric Clinical Records (above)	tests on coronary arteries of pediatric patients; includes film and electronic images produced during procedure	RETAIN UNTIL: Patient reaches age 30 THEN: Destroy* <i>NOTE: Records must be retained 11 years after last encounter.</i>	
762.3	Daily Statistical Sheets and Logs	statistical sheets and logs documenting the number of patients given examinations during a given reporting period; includes patient names, names of attending physicians, type and number of examinations performed, and other related information	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
763.5 	Imaging Services and Radiographic Records	nuclear medicine exams and imaging diagnostic tests, including CAT scans, MRI scans, and x-rays; includes film and electronic images produced during tests	RETAIN UNTIL: Last encounter PLUS: 5 years THEN: Destroy*	

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

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

7.7 Nursing Services

DEFINED: Records maintained at nurses' duty stations.

SEE ALSO: Staff meeting minutes and productivity reports are under AGENCY MANAGEMENT. Information on contracted employees is under HUMAN RESOURCES.

7.7

RC No.	Record Types	Description	Disposition Instructions	Citation
771.1	Call-In Reports	records concerning ambulance reports generated when the ambulance is used to transport a Division of State Operated Healthcare Facilities patient; includes ambulance run reports	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
772.5	Daily Staffing Records	assignments sheets specifying nurses' floor assignments; includes nurses' names and numbers of patients seen	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
773.5	Emergency Department Log	records concerning individuals receiving services in the emergency department	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
774.5	Emergency Equipment Checklists	checklists regarding equipment reliability on the code cart	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
775.R	Float Rosters	lists of nurses sent to other units within the facility; includes nurse's name, unit sent to, hours worked, and time spent	RETAIN UNTIL: Reference value ends THEN: Destroy Facility Policy: _____	
776.1	Floor Census Records	records used to track room usage; includes number of patients and number of rooms available	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
777.5	Observation Logs	records concerning observation of patients in the facility less than 24 hours	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
778.R	Private Duty Call Lists	lists of patient sitters	RETAIN UNTIL: Reference value ends THEN: Destroy Facility Policy: _____	

7.7



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

7.8 Pharmacy Records



DEFINED: Records concerning operations of state operated healthcare facility pharmacies. (See 21 North Carolina Administrative Code 46, Board of Pharmacy – Rules and Regulations Sections .0100 through .3000 for further information regarding the disposition of records.)

7.8

SEE ALSO: Original prescription orders are incorporated into the Adult and Pediatric Clinical Records.


RC No.	Record Types	Description	Disposition Instructions	Citation
781.3	Adverse Drug Reaction Reports	reports to the Food and Drug Administration (FDA) describing adverse drug reactions	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
782.P	Drug Disposal Records	pharmaceutical waste manifests	PERMANENT	<u>Retention</u> DHHS Pharmaceutical Waste Policy
782.3		records documenting the disposal or final disposition of all outdated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
783.3	Drug Distribution Records	records listing who filled and/or checked a medication at time of issuing or dispensing and other related information	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Retention</u> 21 NCAC 46 .1414(j)(1)
784.3	Drug Inventories	inventories of controlled and non-controlled substances; includes inventory reports, ancillary drug cabinet inventories, annual and biennial inventories, perpetual inventories, and other related records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy; also includes inventories of drugs destroyed, their amounts, and when destroyed	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Retention</u> 21 NCAC 46 .1414(j)(6)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
785.10	Insurance Claim Records	Medicaid and Medicare Part D medication and billing records; includes electronic records used to maintain billing	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
785.3		insurance claim forms, confirmation or denial reports, remittance and status reports, and other related records submitted by pharmacies for reimbursement	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
786.3	Medication Storage and Environment Inspection Reports	results of medication storage areas inspected on a routine basis; also includes intravenous hood performance reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
787.< 	Patient Medication Profile	lists of all prescribed medications for each patient; also includes records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services (e.g., on-site drug and medication reviews)	RETAIN UNTIL: Patient is no longer active at facility THEN: Destroy*	<u>Confidentiality</u> G.S. § 90-113.74
788.3 	Prescription Orders	prescription orders for controlled and non-controlled substances or other medication or devices that are not recorded in the patient's medical record	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Authority</u> G.S. § 90-85.30 G.S. § 90-85.35 <u>Confidentiality</u> G.S. § 90-85.36 <u>Retention</u> G.S. § 90-85.26 21 NCAC 46 .2302

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

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
789.3 ₁	Schedule II, III, IV, and V Narcotics Records	ordering and receiving records for schedule II controlled substances	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Authority</u> G.S. § 90-90 G.S. § 90-107 <u>Retention</u> 21 NCAC 46 .1414(j)(6) 42 CFR 423.505
789.3 ₂ 		records documenting the usage of schedule II, III, IV, and V controlled substances	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Authority</u> G.S. § 90-90 through § 90-93 G.S. § 90-113.71 <u>Confidentiality</u> G.S. § 90-85.36(c) G.S. § 90-113-74


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

7.9 Social Services and Acute Care Records

DEFINED: Records concerning social service and acute care programs at state operated healthcare facilities or service providers.

SEE ALSO: Patient conference records and referral worksheets for discharge planning are filed in the Adult and Pediatric Clinical Records.

7.9

RC No.	Record Types	Description	Disposition Instructions	Citation
791.3	Approval for Nursing Home Placement Records	completed forms approving patients' placements in nursing homes	RETAIN UNTIL: Discharge or death of patient PLUS: 3 years THEN: Destroy	
792.12 	Children's Developmental Service Agency (CDSA) Patient Clinical Records	records concerning admissions and services of CDSA clients of the Infant-Toddler Program; includes medical histories, results of eligibility determinations, evaluations and assessments, diagnostic goals, Individualized Family Service Plans, service notes, summaries of treatment received, responses to treatment, follow-up reports, and other related records	RETAIN UNTIL: Designated inactive PLUS: 12 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 130A-12
793.3	Patient Tracking Records	records used to track patients receiving care through a facility's social service program; includes patient's name and address, room number, consultation date, placement information, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
794.4	Referrals to County Department of Social Services	completed forms (PA-400) used as referrals to county department of social services for patients who may be eligible for Medicare	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	

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

7.10 Utilization Review Records

DEFINED: Committee records regarding the utilization of healthcare facility staff, programs, and resources.

7.10

RC No.	Record Types	Description	Disposition Instructions	Citation
7101.10	Daily Medicare and Medicaid Logs	record of money paid to provider by Medicaid or Medicare	RETAIN UNTIL: CMS Cost Report Audit closes PLUS: 10 years THEN: Destroy*	<u>Retention</u> 42 CFR 422.504(d)
7102.S	Financial Classification Logs	logs listing financial classifications applicable to patients	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
7103.1	Patient Abstract Records	abstracts of codes used to track both patient billing and types of diseases diagnosed (used to report this information to insurance companies)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
7104.3	Private Paid Discharge Records	records used to track those patients who pay their bill without insurance or Medicare	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
7105.1	Transfer and Discharge Lists	lists summarizing transfers and discharges of patients	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
7106.S	Utilization Review Plans	plans for utilization review	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Authority</u> 42 CFR 482.30

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

732.11 Adult Clinical Records: Transfer records to the State Records Center 6 years after inmate’s release or parole. Records will be held for agency 5 additional years and then destroyed.

Appendix

Agency	Series Title	Item Number
Department of Public Safety	Inpatient Health Records File	679
	Outpatient Health Records File	4049
	Prisons Health Services Inpatient/Residential Mental Health Records	47048
	Raw Psychological Test Data File	47049

753.60 Autopsy Records: Transfer records to the State Records Center after 5 years. Records will be held for agency 55 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Central Office Microscopic Slides and Paraffin Blocks File	1782
	Investigative Cases File	1779
	Non-Central Office Investigative Cases File	1780
	Non-Central Office Microscopic Slides and Paraffin Blocks File	1783
	X-Ray File	1781

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.



792.12 Children’s Developmental Service Agency (CDSA) Patient Clinical Records: Transfer records to the State Records Center after 2 years. Records will be held for agency 10 additional years and then destroyed.

Appendix

Agency	Series Title	Item Number
Department of Health and Human Services	CDSA – Blue Ridge	3651
	CDSA – Cape Fear	1819
	CDSA – Concord	1810
	CDSA – Durham	3620
	CDSA – Elizabeth City	1811
	CDSA – Greensboro	1813
	CDSA – Morganton/Hickory	1814
	CDSA – New Bern	1815
	CDSA – Raleigh	1816
	CDSA – Rocky Mount	29683
	CDSA – Sandhills	1818
	CDSA – Shelby	1817
	CDSA – Western NC	1808
	CDSA – Winston-Salem	48183

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.

8. Human Resources

Human Resources records document the management of a government agency's personnel. This function incorporates both the human and the payroll management aspects of personnel.

NOTE: For training conducted for non-agency personnel, see EDUCATION or PUBLIC RELATIONS.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 8.1 Administrative Investigations
 - 811 Complaints
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- 8.2 Attendance and Leave
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- 8.3 Benefits
 - 831 Benefits Continuation
 - 832 Death Claims
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 - 834 Educational Assistance
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 - 836 Insurance and Fringe Benefits Plans and Programs
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- 8.7 Position Management
 - 871 Abolished Positions
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- 873 Applications for Employment
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- 876 Position Descriptions
- 877 Position Evaluations
- 878 Position History
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8.8 Staff Development

- 881 Asbestos Training
- 882 Bloodborne Pathogen Training
- 883 Employee Training Materials
- 884 Employee Training Records
- 885 Hazardous Waste Training
- 886 Law Enforcement Training

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>.

No Human Resources records have archival value, although several have long retention periods (e.g., personnel policies [RC No. 861.P] should be retained permanently). The retention periods for these records are often triggered by the separation date of the employee; for this reason, it is best to organize human resources records chronologically according to the trigger events. For example, by doing so, in 2020 an agency could easily identify and destroy any time sheets (RC No. 827) that were completed before 2015.

Many human resources records are confidential according to General Statutes §§ 126-22 and 126-24. Rather than list these citations beside each individual record, the lock symbol indicates confidentiality under this legislation; any *additional* confidentiality provisions are noted in the citation column. In addition, note that G.S. § 126-23 stipulates which “records [about employees] to which there is a right of inspection and copying” (including name; age; dates of employment, promotion, demotion, transfer, suspension, or separation; terms of contract; current position and title; and current salary along with dates of any increases or decreases). For additional guidance refer to the 2010 Attorney General’s opinion that was issued in response to a list of clarifying questions from the State Personnel Director concerning the legislative changes to G.S. § 126-23. The opinion is available on the Attorney General’s website at <https://ncdoj.gov/opinions/personnel-information-required-to-be-made-available-for-inspection/>.

The Office of the State Controller (OSC) operates and maintains the technical support for the Integrated Human Resources-Payroll System. State agencies input information into this system and are considered the records owners. Although both OSC and the Office of State Human Resources have access to information in the Integrated HR-Payroll System for operational purposes, data requests for the purposes of litigation or public records requests are directed to the originating agency (with the exception of the monthly payroll information provided for publication by the *News and Observer*).

For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in these personnel files. Although this schedule indicates shorter retention periods for some of these records, such as medical examination reports, the more stringent requirements of the North Carolina Criminal Justice Education and Training Standards Commission apply to the personnel files of criminal justice officers.





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.

8.1 Administrative Investigations

DEFINED: Activities related to the investigation of conduct problems among agency personnel.

SEE ALSO: For Performance Management Records, see Employee Evaluations and Certifications. For disciplinary actions and other personnel issues, see Personnel Management. For conflicts requiring adjudication, see LEGAL.

8.1

RC No.	Record Types	Description	Disposition Instructions	Citation
811.3 	Complaints	complaints lodged against personnel that are resolved without an internal investigation	RETAIN UNTIL: Resolution PLUS: 3 years THEN: Destroy*	
811.5 ₁ 		complaints lodged against personnel that are exonerated	RETAIN UNTIL: Final disposition PLUS: 5 years THEN: Destroy*	
811.5 ₂ 		complaints lodged against personnel that are settled out-of-court	RETAIN UNTIL: Final disposition or expiration of relevant statute of limitations PLUS: 5 years THEN: Destroy*	
812.T 	Internal Affairs Case Records	investigation reports, disciplinary actions, and other related records	RETAIN UNTIL: Complete THEN: Transfer to official personnel record	

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





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

8.2 Attendance and Leave

DEFINED: Activities related to the monitoring of work schedules for agency personnel.





NOTES: For agencies using the Integrated HR-Payroll System, much of this information is recorded in that system. Agencies should be aware that for the purpose of retirement benefit verification, all of the following represent creditable service that may need to be documented if a member of the Teachers' and State Employees' Retirement System wishes to purchase years of service: Part-Time Service, Leave of Absence while in receipt of NC Workers' Compensation, Temporary Employment, Omitted Membership, Extended Illness without pay, Maternity Leave, Involuntary Administrative Furlough, and Retroactive Service.

8.2

RC No.	Record Types	Description	Disposition Instructions	Citation
821.T 	Educational Leave	records concerning approved requests for educational leave	RETAIN UNTIL: Employee returns or separates THEN: Transfer to official personnel record	
822.5 	Family Medical Leave Act (FMLA)	records concerning approved requests for leave under FMLA	RETAIN UNTIL: Employee returns or separates PLUS: 5 years THEN: Destroy	<u>Authority</u> 29 CFR 825.110 <u>Retention</u> 25 NCAC 01E .0211 25 NCAC 01E .0315 29 CFR 825.500(b)
823.5 	Leave File	records concerning approved leave requests by agency personnel; includes civil leave, community service leave, and leave without pay	RETAIN UNTIL: Employee returns or separates PLUS: 5 years THEN: Destroy	<u>Retention</u> 25 NCAC 01E .0211 25 NCAC 01E .0315
823.< 		records concerning denied leave requests	RETAIN UNTIL: Denial PLUS: 6 months THEN: Destroy	

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

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
824.5 	Military Leave	records concerning approved requests for military leave provided under the Uniformed Services Employment and Reemployment Act (USERRA)	RETAIN UNTIL: Employee returns or separates PLUS: 5 years THEN: Destroy	<u>Authority</u> 5 CFR 1208 <u>Retention</u> 25 NCAC 01E .0211 25 NCAC 01E .0315
825.T 	Parental Leave	records concerning approved requests for parental leave	RETAIN UNTIL: Employee returns or separates THEN: Transfer to official personnel record	<u>Authority</u> EO No. 95 (2019)
826.5 	Shared Leave	records concerning participation in the voluntary shared leave program	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 25 NCAC 01E .0211 25 NCAC 01E .0315
827.5	Time Sheets	records concerning daily hours worked; includes time sheets or time cards	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 04 NCAC 24D .0501(a) 29 CFR 516.6(a)(1) <i>Note: Time sheets that contain only information necessary for payroll purposes are public records, while those that also include personnel information and/or PII may be in part confidential.¹</i>
828.1 	Work Schedules	records concerning shift and duty assignments	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	






¹ <https://canons.sog.unc.edu/are-local-government-employee-time-sheets-public-records-applying-the-framework-for-answering-questions-about-public-records-requests/>

8.3 Benefits





DEFINED: Activities related to the compensation of employees by means other than wages.

NOTE: Most enrollment forms for benefits plans are sent directly by employees to third-party providers. For unemployment insurance records see PUBLIC ASSISTANCE AND SUPPORT SERVICES.

8.3

RC No.	Record Types	Description	Disposition Instructions	Citation
831.3	Benefits Continuation	notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave (e.g., Consolidated Omnibus Budget Reconciliation Act [COBRA])	RETAIN UNTIL: Employee returns or eligibility expires PLUS: 3 years THEN: Destroy	
832.3 	Death Claims	death claims filed with the Department of State Treasurer by dependents of retired or active employees	RETAIN UNTIL: Settled PLUS: 3 years THEN: Destroy	
833.3 ₁ 	Disability Claims	short-term disability claims forms and other related records	RETAIN UNTIL: Employee returns or separates PLUS: 3 years THEN: Destroy*	
833.3 ₂ 		disability income plan claims and medical records filed by disabled employees applying to the Department of State Treasurer for disability benefits	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
834.3 	Educational Assistance	records concerning tuition assistance and reimbursement	RETAIN UNTIL: Reimbursement PLUS: 3 years THEN: Destroy*	
835.6 	Enrollment Forms	enrollment forms for the State Health Plan received by the Department of State Treasurer; also includes member authorizations and other related records subject to HIPAA compliance	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	<u>Retention</u> 45 CFR 164.530(j)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
836.1	Insurance and Fringe Benefits Plans and Programs	records describing health, life, and other insurance and fringe benefit plans and programs available to agency employees	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	<u>Retention</u> 29 CFR 1627.3(b)(2)
837.1 ₁	Retirement Records	descriptive information about retirement systems	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	<u>Retention</u> 29 CFR 1627.3(b)(2)
837.3 		records concerning payment of deferred compensation	RETAIN UNTIL: Payment PLUS: 3 years THEN: Destroy*	
837.7 		records concerning employer-sponsored retirement plans (e.g., 401(k)); includes plan documents and amendments, trust records, annuity contracts, participant records, and other related records	RETAIN UNTIL: Payment PLUS: 7 years THEN: Destroy*	
837.1 ₂ 		annual benefit statements provided to retirement system members by the Department of State Treasurer	RETAIN UNTIL: Creation PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 128-33.1(f) G.S. § 135-6.1(f)
837.100 		retirement systems member file maintained by Department of State Treasurer; includes documentation of contributions and remittances, applications for retirement benefits or for return of accumulated retirement contributions, forms identifying beneficiaries for death benefits, correspondence, and other related records	RETAIN UNTIL: Member joins PLUS: 100 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 128-33.1(f) G.S. § 135-6.1(f) G.S. § 132-1.10 5 USC 552a
838.3		Unemployment Insurance SEE ALSO: Unemployment Insurance Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)	forms submitted to the Department of Commerce to report wage records of terminated employees	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*

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





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

8.4 Employee Evaluations and Certifications


DEFINED: Activities related to the evaluation of fitness, competencies, and performance of agency applicants and personnel.

SEE ALSO: For documentation of required training for employees, see Staff Development.

8.4

RC No.	Record Types	Description	Disposition Instructions	Citation
841.2 	Aptitude and Skills Testing	records concerning aptitude and skills tests required of job applicants or of current employees seeking promotion or transfer	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 29 CFR 1602.31 29 CFR 1627.3(b)(1)(iv)
842.5 	Certifications and Qualifications	records concerning certification or qualification required for employment, continued employment, or promotion	RETAIN UNTIL: Expiration or employee separation PLUS: 5 years THEN: Destroy	
843.5 	Employee Background Checks	records concerning pre-employment or periodic records checks conducted on prospective or current staff, interns, and volunteers	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> specific citation for criminal record checks can be found in agency's enabling legislation
844.3 	Employee Polygraphs	includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the agency	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy <i>NOTE: If no examination is given, destroy records 3 years from date test was requested.</i>	<u>Retention</u> 29 CFR 801.30

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
845.3 	Performance Management Records	records concerning employees' work plans; includes goals, tasks, values, and performance evaluations	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Retention</u> 25 NCAC 01O .0113 <i>NOTE: Only performance evaluations are confidential.</i>
846.2	Service Awards	records concerning employees receiving awards	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
847.1	Verifications of Employment	inquiries and responses concerning verification of an employee's prior or current employment with the agency	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	

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





8.5 Payroll Management

DEFINED: Records documenting employees' salaries, wages, bonuses, net pay, and deductions.



SEE ALSO: For other payments and reimbursements as well as direct deposit forms and tax forms, see FINANCIAL MANAGEMENT.

NOTE: In the case of retirement system audits on accounts, agencies may be asked to verify dates of employment/termination as well as break down compensation into regular pay versus terminal payouts (e.g., annual leave or longevity).

8.5

RC No.	Record Types	Description	Disposition Instructions	Citation
851.2	Classification and Compensation Records	salary ranges and classifications of positions established by the Office of State Human Resources; includes wage rate tables	RETAIN UNTIL: Superseded/Obsolete PLUS: 2 years THEN: Destroy	<u>Retention</u> 29 CFR 516.6(a)(2)
852.4 	Deduction Registers SEE ALSO: Tax Forms (FINANCIAL MANAGEMENT)	records used to start, modify, or stop all voluntary or required deductions from payroll; includes tax withholding forms (e.g., NC-4, W-4)	RETAIN UNTIL: Termination of deduction PLUS: 4 years THEN: Destroy*	<u>Retention</u> IRS Publication 15
852.2 		includes deductions for retirement contributions, bank payments, savings plans, insurance, dues, and other related records	RETAIN UNTIL: Termination of deduction PLUS: 2 years THEN: Destroy*	<u>Retention</u> 29 CFR 516.6(c)(1)
853.3 	Garnishments	records concerning the garnishments of employees' wages	RETAIN UNTIL: Termination of deduction PLUS: 3 years THEN: Destroy*	
854.2	Lapsed Salaries	records concerning lapsed salaries	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
855.5 	Longevity Pay	records concerning employees eligible for longevity pay	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 04 NCAC 24D .0501(a)

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
856.5 	Payroll SEE ALSO: Electronic Funds Transfers (FINANCIAL MANAGEMENT)	records concerning salaries paid to employees (including employed apprentices or students, interns, contract employees, and temporary employees) records concerning benefits paid by Department of State Treasurer to retired employees or their beneficiaries	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy* RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	<u>Authority</u> 29 CFR 516.30(a) <u>Confidentiality</u> G.S. § 132-1.10 ² <u>Retention</u> 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)
857.T	Salary Changes	notifications of salary changes; includes increments and salary increases mandated by legislative action	TRANSFER to Personnel File <i>NOTE: Records documenting current and past salaries should be retained in accordance with the public information provision delineated in G.S. § 126-23.</i>	
858.5 	Shift Premium Pay	authorizations and other related records concerning employees receiving shift premium pay	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	<u>Retention</u> 04 NCAC 24D .0501(a)
859.3	Statements of Back Pay	forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or a State Human Resources Commission order	RETAIN UNTIL: Paid PLUS: 3 years THEN: Destroy*	

² Although salary information is public according to G.S. § 126-23, personal identifying information and deductions are confidential.


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

8.6 Personnel Management



DEFINED: Activities coordinating the assignment and oversight of agency personnel, including temporary and contract workers as well as interns and volunteers.

SEE ALSO: For records related to reasonable accommodations for agency visitors, see RISK MANAGEMENT. Workers’ compensation program claims as well as personnel grievance hearings at the Office of Administrative Hearings are under LEGAL. Investigations and hearings of employee complaints under the Retaliatory Employment Discrimination Act (REDA) by the Department of Labor are also under LEGAL.




NOTES: The official personnel file is designated as RC No. 8615; any supplementary materials about employees that are kept outside of the official personnel jacket should be destroyed when their specific retention requirements have been met, and any copies of materials also housed in the official personnel jacket may be destroyed when their reference value ends. For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file.

RC No.	Record Types	Description	Disposition Instructions	Citation
861.P	Administrative Records	agency personnel policies and procedures	PERMANENT	
861.5 	SEE ALSO: Workers’ Compensation Program Administration (below)	personnel correspondence and memoranda	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
861.S		agreements and authorizations required of employees; includes orientation materials and informational data	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
862.T	Aggregate Service History	complete history of each employee’s service with the agency	TRANSFER to Personnel File	<u>Authority</u> G.S. § 126-23
863.2	Apprentice, Intern, and Volunteer Records SEE ALSO: Employee Training Materials (below) (continued on following page)	records concerning participants in internships and volunteer positions; includes applications and selection materials as well as aggregated data	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	






* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
863.5	Apprentice, Intern, and Volunteer Records (cont.)	records concerning participants in apprenticeships, including applications and selection materials as well as aggregated data; also includes affirmative action plans for apprenticeship programs	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> 29 CFR 30.4(a) 29 CFR 1602.20 <u>Retention</u> 29 CFR 30.12(d) 29 CFR 1602.21
864.1 	Civil Rights Cases SEE ALSO: Applications for Employment (below)	records concerning discrimination complaints by employees or former employees; includes equal opportunity (EO) complaints	RETAIN UNTIL: Final disposition of the charge or action PLUS: 1 year THEN: Destroy <i>Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."</i>	<u>Retention</u> 29 CFR 1602.14
864.2 		requests for reasonable accommodation by employees or former employees	RETAIN UNTIL: Obsolete PLUS: 2 years THEN: Destroy	







* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
865.3	Civil Rights Records SEE ALSO: Civil Rights Cases (above); Reasonable Accommodations (RISK MANAGEMENT)	records concerning documentation of policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act; includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	<u>Authority</u> G.S. § 126-19 29 CFR 1602.7 29 CFR 1602.41 29 CFR 1608.4 <u>Retention</u> 29 CFR 1602.30 29 CFR 1602.32 29 CFR 1602.39
866.T	Disciplinary Actions SEE ALSO: Grievances (below); OAH Case Records, Discrimination Complaint Investigations (LEGAL)	records concerning disciplinary actions taken against employees	TRANSFER to Personnel File <i>NOTE: Records documenting disciplinary actions should be retained in accordance with the public information provision delineated in G.S. § 126-23.</i>	
867.1 	Dual and Secondary Employment	records concerning employees engaging in dual employment with State government or secondary employment with an outside employer	RETAIN UNTIL: Termination of outside employment PLUS: 1 year THEN: Destroy	
867.< 		denied requests for outside employment	RETAIN UNTIL: Denial PLUS: 6 months THEN: Destroy	
868.30 ₁ 	Employee Medical Records <i>NOTE: Records must be kept separately from employee's personnel jacket. At time of separation, provide medical records to employees who have worked for less than 1 year.</i> (continued on following page)	records concerning asbestos, toxic substances, and bloodborne pathogen exposure	RETAIN UNTIL: Exposure PLUS: 30 years THEN: Destroy	<u>Confidentiality</u> 29 CFR 1910.1030 (h)(1)(iii) <u>Retention</u> 29 CFR 1910.1020(d)



* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
868.5 	Employee Medical Records (cont.)	first aid records of minor job-related injuries	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 29 CFR 1910.1020(d)
868.1 	SEE ALSO: Workers' Compensation Program Claims (LEGAL)	physical examinations required by the employer in connection with any personnel action; includes health or physical examination reports, or certificates created in accordance with the Americans with Disabilities Act (ADA)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> 29 CFR 1630.14(c)(1) <u>Retention</u> 29 CFR 1627.3 (b)(1)(v) 42 USC 12112(d)(3)
868.30 ₂ 		remaining employee medical records	RETAIN UNTIL: Employee separation PLUS: 30 years Ω THEN: Destroy	<u>Retention</u> 29 CFR 1910.1020(d)
869.4		Employee Suggestions and Surveys	records concerning adopted suggestions of employees through the Employee Suggestion (ES) System of the Department of Administration	RETAIN UNTIL: Received PLUS: 4 years THEN: Destroy
869.1		employee surveys, rejected suggestions, and other related records outside of the ES System	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	
8610.5 	Employment Eligibility Verification	employment authorization documents filed with the U.S. Department of Labor	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 20 CFR 656.10(f)
8610.3 ₁ 		I-9 forms used for verifying the identity and employment authorization of individuals hired for employment in the United States	RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy <i>NOTE: After separation, destroy records 3 years from date of hire or 1 year from separation, whichever occurs later.</i>	<u>Retention</u> 8 USC 1324a(b)(3)
(continued on following page)				

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
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
8610.3 ₂ 	Employment Eligibility Verification (cont.)	immigrant or nonimmigrant petitions filed by the agency	RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy	
8610.1 		E-Verify forms	RETAIN UNTIL: Employee separation PLUS: 1 year THEN: Destroy	<u>Retention</u> G.S. § 64-26(b)
		Selective Service Registration compliance forms	RETAIN UNTIL: Employee separation PLUS: 1 year THEN: Destroy	<u>Authority</u> G.S. § 143B-421.1
8611.1 	Exit Interviews	interviews or questionnaires conducted with employees planning to separate from the agency	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
8612.2 	Grievances SEE ALSO: OAH Case Records	records concerning employee grievances; includes EEO informal inquiry process and formal internal grievance process	RETAIN UNTIL: Resolution PLUS: 2 years THEN: Destroy*	
8612.5 	(LEGAL)	records concerning hearings conducted by the Office of State Human Resources	RETAIN UNTIL: Resolution PLUS: 5 years THEN: Destroy*	
8613.5 	Occupational Safety and Health Administration (OSHA) Records	records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms; also includes ergonomic assessments for employees as well as OSHA inspections and/or citations of the agency <i>NOTE: The receiving agency is the records owner for records generated by Department of Labor assessments.</i>	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Retention</u> 29 CFR 1904.33 29 CFR 1904.44

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 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
8614.T	Personnel Action Requests	records concerning personnel action changes (e.g., hire, termination, retirement, resignation)	TRANSFER to Personnel File <i>NOTE: Records documenting personnel action requests should be retained in accordance with the public information provision delineated in G.S. § 126-23.</i>	
8615.30 	Personnel File	records that document events in permanent and temporary individuals' employment history that have long-term consequences for the employee and the agency; also includes dismissals that are not challenged by the employee	RETAIN UNTIL: Separation PLUS: 30 years Ω THEN: Destroy <i>NOTE: Records should be retained in accordance with the public information provision delineated in G.S. § 126-23.</i>	<u>Authority</u> G.S. § 126-23
8616.5 	Seasonal and Contract Worker Records	records that document events in an individual's short-term employment history	RETAIN UNTIL: Separation PLUS: 5 years THEN: Destroy	
8617.S	Workers' Compensation Program Administration SEE ALSO: Workers' Compensation Program Claims (LEGAL)	includes program policies, guidelines, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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

8.7 Position Management

DEFINED: Activities related to the management of the employee positions allocated to the agency, including recruitment of personnel.

8.7

RC No.	Record Types	Description	Disposition Instructions	Citation
871.1	Abolished Positions	records concerning positions that have been abolished	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
872.1	Applicant Flow Records	statistical data retained by the Office of State Human Resources concerning all applicants who apply for agency positions	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
873.T 	Applications for Employment	applications and other related records for hired candidates; includes offers of employment	TRANSFER to Personnel File or Seasonal and Contract Worker Records upon hiring	
873.2 		applications and other related records that are unsolicited or are received from individuals who are not hired or do not accept offered position	RETAIN UNTIL: Received PLUS: 2 years THEN: Destroy*	<u>Retention</u> 29 CFR 1602.31 & .40 29 CFR 1627.3(b)(1)
874.2 	Hiring Packages	includes interview documentation, rosters, eligibility lists, test ranking sheets, tracking forms, justification statements, and other related records	RETAIN UNTIL: Hiring decision PLUS: 2 years THEN: Destroy*	
875.S	Position Control	records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
876.2	Position Descriptions	job descriptions for each position	RETAIN UNTIL: Superseded/Obsolete PLUS: 2 years THEN: Destroy	<u>Retention</u> 29 CFR 1620.32

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

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
877.1	Position Evaluations	forms used to evaluate the primary purpose of a position	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
878.P	Position History	classification records and complete histories of salaried positions within the agency; includes listings providing classification, titles, and position numbers	PERMANENT	
879.1	Recruitment Records	includes ads and notices of overtime, promotion, and training; also includes employment listings	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	<u>Retention</u> 29 CFR 1627.3(b)(1)


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

8.8 Staff Development

DEFINED: Activities related to the training required for agency personnel.

SEE ALSO: For required training conducted by another State agency, the coursework and participant records are held by that agency under the EDUCATION schedule.

8.8

RC No.	Record Types	Description	Disposition Instructions	Citation
881.1	Asbestos Training	employee-specific records concerning training programs for the proper management of asbestos	RETAIN UNTIL: Separation PLUS: 1 year THEN: Destroy	<u>Retention</u> 29 CFR 1910.1001 (m)(4)
882.3	Bloodborne Pathogen Training	records concerning training programs for the proper avoidance of bloodborne pathogen exposure; includes rosters, contents or summaries of sessions, names and qualifications of instructors, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Retention</u> 29 CFR 1910.1030 (h)(2)(ii)
883.S	Employee Training Materials SEE ALSO: Bloodborne Pathogen Training (above), Hazardous Waste Training (below), and Law Enforcement Training (below)	records concerning the delivery of training to agency personnel; includes training manuals, syllabi and course outlines, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
884.2 	Employee Training Records SEE ALSO: Asbestos Training (above)	employee-specific records documenting the training of agency personnel; includes certificates, transcripts, test scores, selections, and other related records	TRANSFER to Personnel Jacket if training is necessary for current position or could affect career advancement RETAIN REMAINING RECORDS UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Retention</u> 29 CFR 1602.31 29 CFR 1627.3(b)(1)

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

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
885.5	Hazardous Waste Training	records concerning training programs for the proper avoidance of hazardous material exposure; includes rosters, contents or summaries of sessions, names and qualifications of instructors, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> 29 CFR 1910.120 (p)(8)(iii)
886.P	Law Enforcement Training	records concerning internal training for law enforcement personnel	PERMANENT	

8.8

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

868.30₂ Employee Medical Records: Transfer to the State Records Center 5 years after employee separation. Records will be held 25 additional years and then destroyed.

Appendix

Agency	Series Title	Item Number
Public Safety, Department of	North Carolina Army National Guard Medical Records	50877

8615.30 Personnel File: Transfer to the State Records Center 5 years after employee separation. Records will be held 25 additional years and then destroyed. NOTES: When an entity moves from one agency to another, any personnel records for separated personnel that date prior to this move remain in the legal custody of the original agency. The Department of Administration also handles personnel records for some additional agencies.

Agency	Series Title	Item Number
Administration, Department of	Inactive Personnel File	88
Administrative Hearings, Office of	Inactive Personnel File	18617
Administrative Office of the Courts	Inactive Personnel File	2324
Agriculture and Consumer Services, Department of	Inactive Personnel File	242
Commerce, Department of	Department of Commerce Inactive Personnel File	313
	Division of Employment Security Inactive Personnel File	415
	Division of Workforce Solutions Inactive Personnel File	49952
Community College System, North Carolina	System Office Inactive Personnel File	19777
Environmental Quality, Department of	Inactive Personnel File	2484
	Division of Environmental Management Inactive Personnel File	33824
Health and Human Services, Department of	Inactive Personnel File	1613
	Division of Child Development Inactive Personnel File	7765
	Division of Health Service Regulation Inactive Personnel File	1713
	Division of Medical Assistance Inactive Personnel File	6409
	Division of Mental Health, Developmental Disabilities, and Substance Abuse Services Inactive Personnel File	1890
	Division of Public Health Inactive Personnel File	44004
(continued on following page)	Division of Services for the Blind Inactive Personnel File	1659

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.

Functional Schedule for North Carolina State Agencies (2020)



Agency	Series Title	Item Number
Health and Human Services, Department of (cont.)	Division of Social Services Inactive Personnel File	2101
	DSOHF Black Mountain Neuro-Medical Treatment Center Inactive Personnel File	3497
	DSOHF Broughton Hospital Inactive Personnel File	1957
	DSOHF Caswell Developmental Center Inactive Personnel File	1963
	DSOHF Central Regional Hospital Inactive Personnel File	50480
	DSOHF Cherry Hospital Inactive Personnel File	1966
	DSOHF J. Iverson Riddle Developmental Center Inactive Personnel File	3592
	DSOHF Julian F. Keith Alcohol and Drug Abuse Treatment Center Inactive Personnel File	1954
	DSOHF Longleaf Neuro-Medical Treatment Center Inactive Personnel File	1996
	DSOHF Murdoch Developmental Center Inactive Personnel File	1995
	DSOHF O’Berry Neuro-Medical Treatment Center Inactive Personnel File	1998
	DSOHF Walter B. Jones Alcohol and Drug Abuse Treatment Center Inactive Personnel File	2009
	Division of Vocational Rehabilitation Inactive Personnel File	2214
	Housing Finance Agency, North Carolina	Inactive Personnel File
Information Technology, Department of	Inactive Personnel File	47987
Insurance, Department of	Inactive Personnel File	2249
Justice, Department of	Inactive Personnel File	14171
Labor, Department of	Inactive Personnel File	2448
Natural and Cultural Resources, Department of	Inactive Personnel File	775
	State Parks Inactive Personnel File	3419
Occupational Safety and Health Review Commission, North Carolina	Inactive Personnel File	6003
Public Instruction, Department of	Inactive Personnel File	972
	Education Services for the Deaf and Blind Inactive Personnel File	50094
Public Safety, Department of	Inactive Personnel File	50798
	North Carolina Air National Guard Individual Military Personnel File	747
	Private Protective Services Inactive Registered Employees File	3925
	State Highway Patrol Report of Investigation File	35451

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.

Functional Schedule for North Carolina State Agencies (2020)



Agency	Series Title	Item Number
Revenue, Department of	Inactive Personnel File	2856
Secretary of State, Department of the	Inactive Personnel File	2894
State Auditor, Office of the	Inactive Personnel File	4081
State Budget and Management, Office of	Inactive Personnel File	38376
State Controller, Office of the	Inactive Personnel File	39729
State Human Resources, Office of	Inactive Temporary Solutions Workforce Personnel File	15403
State Treasurer, Department of	Inactive Personnel File	16234
Transportation, Department of	Division of Motor Vehicles Inactive Personnel File	3160
	Department of Transportation Inactive Personnel File	2947
Wildlife Resources Commission	Inactive Personnel File	2745

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.



9. Information Technology

The function of Information Technology (IT) addresses tangible resources like networking hardware and computers as well as intangible resources like software and data. For policies, procedures, and project documentation, see AGENCY MANAGEMENT. For external service on equipment, see ASSET MANAGEMENT. For user chargebacks for data processing services, see FINANCIAL MANAGEMENT. For software license and copyright provisions, see LEGAL. For audits of information systems, see MONITORING AND COMPLIANCE. For websites and social media, see PUBLIC RELATIONS. For disaster preparedness and recovery planning, see RISK MANAGEMENT.

NOTE: All agencies are expected to maintain up-to-date electronic records and imaging policies. (See resources available on the State Archives website, <https://archives.ncdcr.gov/>, for guidance.) These policies allow for digital surrogates to be retained in the place of original paper records, as referenced in Digitization and Scanning Records (RC No. 914.<). However, if an agency does not have an authorized electronic records and imaging policy, the original paper records must be retained according to their disposition instructions.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 9.1 Data Administration
 - 911 Data Documentation Records
 - 912 Data Migration Records
 - 913 Data Warehouses
 - 914 Digitization and Scanning Records
 - 915 Electronic Records Policies
 - 916 Geospatial Data
 - 917 Records Backup Information
- 9.2 Network and System Administration
 - 921 Automated Program Listing Source Code
 - 922 Data Authentication
 - 923 IT Assistance Records
 - 924 Network and System Security Records
 - 925 Network Diagrams
 - 926 System Documentation
 - 927 Technical Program Documentation
 - 928 Voice Over Internet Protocol (VoIP) Records
 - 929 Web Management and Operations Records

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>.

Most Information Technology records are either project-based, with a relatively short retention required after the completion of the project, or iterative and, therefore, necessary to retain until superseded or obsolete. Examples include Technical Program Documentation (RC No. 927.1). IT records are likely best organized chronologically based on the trigger event. North Carolina G.S. § 132-6.1(c) establishes that an agency is not required “to disclose security features of its electronic data processing systems, information technology systems, telecommunications networks, or electronic security systems, including hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes”; therefore, steps should be taken to maintain the confidentiality of these records. Most IT records will be retained and destroyed in office, but there are some archival records, such as the Geospatial Data (RC No. 916) accumulated by the Center for Geographic Information and Analysis. The State Records Center does not provide temporary storage of electronic records, so no non-archival records in this schedule will transfer to the State Records Center.

Retention of public records in North Carolina is based on their content, not on the format of the records; this functional schedule focuses solely on the records created or received in the context of carrying out the Information Technology function of State agencies and does not contain disposition instructions for all electronic records writ large. Nevertheless, knowing that many IT professionals assist agencies with their retention of electronic records, it is worth acknowledging here several relevant points:

- Agencies must make appropriate provisions to retain electronic records so as to comply with retention requirements established by the Department of Natural and Cultural Resources. If the agency maintains data that falls under Federal mandates (e.g., Criminal Justice Information Services [CJIS]) and there is a longer Federal retention period, the more restrictive requirement must be met. These provisions apply whether records are housed on premise or with a contracted provider.
- Even if a record could have been destroyed according to the retention schedule, if the record is still retained – even electronically – it is still subject to public access and discovery requests unless some statutory exception applies.
- From the records management perspective, the entity who has the authority to delete data is considered the data custodian.
- Derivatives of records (e.g., operational reports derived from electronic records or system queries created on an ad hoc or one-time basis for reference purposes) should be considered reference files and can be destroyed when their reference value ends. However, reports that include annotations or substantive information not included in the data master record should be handled as Reports found on the AGENCY MANAGEMENT schedule.

Be aware that metadata should be maintained as long as the records exist in order to document the authenticity of and facilitate access to the associated electronic records. When a file is deleted, any external metadata should also be deleted.

Functional Schedule for North Carolina State Agencies (2020)



NC DEPARTMENT OF
NATURAL AND CULTURAL RESOURCES


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.

9.1 Data Administration

DEFINED: Activities related to the administration of agency data.

SEE ALSO: Reports generated from data collected by the agency and agency IT plans submitted to the Department of Information Technology and the Office of State Budget and Management are under AGENCY MANAGEMENT. Photogrammetry records produced for transportation projects are under INFRASTRUCTURE MANAGEMENT. Floodplain mapping data is under RISK MANAGEMENT.

9.1

RC No.	Record Types	Description	Disposition Instructions	Citation
911.3	Data Documentation Records	records concerning data in automated systems; includes data element dictionary, file layout, code book or table, entity relationships tables, and other records related to the structure, management, and organization of data	RETAIN UNTIL: System is discontinued and/or replaced PLUS: 3 years THEN: Destroy	
912.1	Data Migration Records	technical records documenting data migrations <i>NOTE: The data itself is subject to the disposition instructions indicated for its relevant record type; these are merely records about migrating said data.</i>	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
913.S 	Data Warehouses SEE ALSO: Reporting (AGENCY MANAGEMENT)	federated data gathered by the agency from other sources for the purposes of comparison and distribution	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> consistent with any restrictions placed on the data producer
914.<	Digitization and Scanning Records	records concerning data entry and imaging operations; includes quality control records and paper records that are digitized	RETAIN UNTIL: Digitized PLUS: 10 days THEN: Destroy <i>NOTE: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.</i>	

* 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
915.3	Electronic Records Policies SEE ALSO: Agency Policies (AGENCY MANAGEMENT)	records documenting the policies and procedures employed by the agency to maintain authentic and accessible electronic records	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
916.A	Geospatial Data	records maintained by the Department of Public Safety concerning the first geographic positions and coordinates surveys established for geodetic stations throughout the state framework datasets maintained by the Center for Geographic Information and Analysis; includes vector and raster datasets	PERMANENT (archival) ∞	
916.P	SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)	data layers maintained by the Department of Environmental Quality; includes data about stream flow in bodies of water data layers maintained by the Department of Transportation; includes road centerline, boundaries, assets (e.g., roads, bridges, railroads, bike routes), and other related data	PERMANENT (appraisal required) ∞	
916.R		thematic datasets maintained by the Center for Geographic Information and Analysis; includes vector and raster datasets	RETAIN UNTIL: Reference value ends (appraisal required) THEN: Destroy Agency Policy: _____	
917.S	Records Backup Information	records documenting regular or essential system backups; includes backup tape inventories and other related records <i>NOTE: Destroy the backups in accordance with your agency's established, regular backup plan and procedures. SEE: Security Backup Files as Public Records in North Carolina</i> Agency Policy: _____	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.

9.2 Network and System Administration





DEFINED: Activities related to the administration of agency IT networks and systems.

Note: If the agency is subject to Federal incident monitoring, all relevant security incident reporting must be retained until the Federal audit is complete.

9.2

RC No.	Record Types	Description	Disposition Instructions	Citation
921.S 	Automated Program Listing Source Code	automated program code that generates the machine language instructions used to operate an automated information system	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 132-6.1(c)
922.1	Data Authentication	fixity checks and other periodic tests of data validity	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy*	
922.<		audit trails documenting user actions within monitored IT systems	RETAIN UNTIL: Disposition of record THEN: Destroy*	
923.1	IT Assistance Records	records documenting troubleshooting and problem-solving assistance provided by information systems personnel; includes help desk assistance requests, work orders, site visit reports, service histories, resolution records, and other related records	RETAIN UNTIL: Resolution PLUS: 1 year THEN: Destroy	
924.1 ₁ 	Network and System Security Records	records documenting the security of networks and systems; includes records concerning firewalls, anti-virus programs, and other related records	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-6.1(c)
924.1 ₂	(continued on following page)	records documenting access requests and authorizations, system access logs, and other related records	RETAIN UNTIL: Superseded/Obsolete 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
924.2 	Network and System Security Records (cont.)	records documenting incidents involving unauthorized attempted entry or probes on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware; includes logs, extracts, compilations of data, and other related records	RETAIN FROM: Creation PLUS: 2 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-6.1(c)
924.5		finalized cyber incident reports	RETAIN FROM: Resolution PLUS: 5 years THEN: Destroy	
925.S 	Network Diagrams	records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 132-6.1(c)
926.3 	System Documentation	records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication; includes system overviews, dataset inventories, server names, IP addresses, purpose of the systems, vendor-supplied documentation, installed software, and current source code	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(g) G.S. § 132-6.1(c)
927.1 	Technical Program Documentation	records concerning program code, program flowcharts, program maintenance logs, systems change notices, and other related records that document modifications to computer programs	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 132-6.1(c)
928.S	Voice Over Internet Protocol (VoIP) Records (continued on following page)	records concerning line registrations	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.







RC No.	Record Types	Description	Disposition Instructions	Citation
928.1	Voice Over Internet Protocol (VoIP) Records (cont.)	records concerning call logs	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy	
928.<		voicemail records	RETAIN UNTIL: Received PLUS: 30 days THEN: Destroy	
929.S	Web Management and Operations Records SEE ALSO: Social Media and Websites (PUBLIC RELATIONS)	site maps that show the directory structure into which content pages are organized, and commercial, off-the-shelf software configuration or content management system files used to operate the site and establish its look and feel; also includes server environment configuration specifications	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.


Records That Will Transfer to the State Records Center

916.A Geospatial Data: Transfer superseded or retired dataset to the State Records Center for immediate transfer to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Center for Geographic Information and Analysis	Geospatial Framework Raster Dataset (Elevation and Bathymetry, Orthoimagery)	49947 
	Geospatial Framework Vector Dataset (Hydrography, Geodetic Control, Cadastral, Transportation, Governmental Units, Elevation and Bathymetry)	49946 
	Geospatial Thematic Raster Dataset	49949 
	Geospatial Thematic Vector Dataset	49948 
Department of Public Safety	Geodetic Control Maps File	44496
	Geodetic Subject File	2716
	North Carolina Geodetic Survey Index Triangulation Data File	17210

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

10. Infrastructure Management

The function of Infrastructure Management involves the construction of public buildings, roads, and other public works. In North Carolina, this work is largely overseen by the Departments of Administration and Transportation. The State Parks also handle the construction and maintenance of infrastructure on their properties.

NOTE: General planning records and reports not related to specific construction projects are under AGENCY MANAGEMENT. Facilities management records that are not tied to federal funding programs are under ASSET MANAGEMENT. For grant funds that pass through a state agency, see FINANCIAL MANAGEMENT. For traffic ordinances, deeds, right-of-way claims, encroachments, and other agreements, see LEGAL. For asbestos management plans, see RISK MANAGEMENT.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 10.1 Construction Management
 - 1011 As-Built Drawings
 - 1012 Construction Records
 - 1013 Federal-Aid Transportation Projects
 - 1014 Mitigation Site Records
 - 1015 State Transportation Projects
- 10.2 Infrastructure Design and Planning
 - 1021 Aviation Planning Records
 - 1022 Design Plans
 - 1023 Dropped Projects Records
 - 1024 House Moving Records
 - 1025 Materials Testing Records
 - 1026 National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records
 - 1027 Photogrammetric Project Records
 - 1028 Preconstruction Project Records
 - 1029 Surplus Property Records
 - 10210 Surveys and Maps
 - 10211 Utilities Tip Projects Records
- 10.3 Transportation Management and Safety
 - 1031 Designations Records
 - 1032 Dredge Reports

- 1033 Incident Management Assistance Records
- 1034 Infrastructure Inspection Records
- 1035 Infrastructure Inventories
- 1036 Infrastructure Maintenance Records
- 1037 Litter Reports
- 1038 Safety Investigation Records
- 1039 Traffic Cameras and Radio Frequency (RF) Readers
- 10310 Traffic Information
- 10311 Traffic Recorder Counts
- 10312 Traffic Safety Project Records
- 10313 Transportation Mobility and Safety Project Records
- 10314 United States Coast Guard (USCG) Deck and Engineer's Logs

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>.

Some Infrastructure Management records assess environmental impacts of construction projects, such as National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records (RC No. 1026), and therefore, are archival. Many Infrastructure Management records, such as State Transportation Projects (RC No. 1015), are project-based and can be destroyed a set number of years after completion of the project. For this reason, these records should be assigned unique identifiers, so that all related records can be identified and arranged according to the closing date for the project.


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.

10.1 Construction Management

DEFINED: Activities related to the construction of public buildings, roads, and other public works.

SEE ALSO: As-built drawings and blueprints for facilities that are used by state agencies but are not state-owned are under ASSET MANAGEMENT, as are maintenance records.

10.1


RC No.	Record Types	Description	Disposition Instructions	Citation
1011.P 	As-Built Drawings SEE ALSO: Facility Management Records (ASSET MANAGEMENT)	as-built drawings collected by the Department of Administration for state-owned facilities; also includes electrical wiring diagrams	PERMANENT ©	Confidentiality G.S. § 132.1-7
1012.100	Construction Records	records concerning repairs, additions, and construction of buildings overseen by the Department of Administration; includes budget requirements, costs, architects' and engineers' inspection reports, energy-related data, change orders, specifications with construction contracts, and other related records	RETAIN UNTIL: Complete PLUS: 100 years Ω THEN: Destroy	
1012.S		records concerning repairs, additions, and construction of buildings and other public works that are <i>not</i> overseen by the State Construction Office	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.

© 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	Description	Disposition Instructions	Citation
1013.3 	Federal-Aid Transportation Projects	records concerning roadway, rail, and structure construction and maintenance projects managed by the Department of Transportation; includes contracts (as well as supplemental agreements and subcontract approval forms), design plans, contractor claims, construction site reviews, field books, diaries, permit audit reports, safety-related audits, value engineering studies, geoenvironmental investigation, geotechnical operations records, roadway/structure/waste/borrow/utilities submittals, certified payroll reports, FAP-1 Reports, wage rate interview forms, Form 1391, inspector daily reports, special provisions, construction revisions, construction contract payment data, correspondence, and other related records	RETAIN UNTIL: Final voucher pay date PLUS: 3 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 136.28.5
1014.10 ₁	Mitigation Site Records	records created by the Department of Transportation concerning on-site or off-site mitigation sites that require post-construction monitoring; includes permits, assessments, maps, field notes, photographs, and other related records	RETAIN UNTIL: Monitoring complete PLUS: 10 years Ω THEN: Destroy	
1014.10 ₂		records created by the Department of Transportation concerning project sites that do not require post-construction monitoring; includes permits, assessments, maps, field notes, photographs, and other related records	RETAIN UNTIL: Project complete PLUS: 10 years Ω 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.
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RC No.	Record Types	Description	Disposition Instructions	Citation
1015.3 	State Transportation Projects	records concerning roadway, rail, and structure construction and maintenance projects managed by the Department of Transportation; includes contracts (as well as supplemental agreements and subcontract approval forms), design plans, contractor claims, construction site reviews, field books, diaries, permit audit reports, safety-related audits, value engineering studies, geoenvironmental investigation, geotechnical operations records, roadway/structure/waste/borrow/utilities submittals, certified payroll reports, FAP-1 Reports, wage rate interview forms, Form 1391, inspector daily reports, special provisions, construction revisions, construction contract payment data, correspondence, and other related records	RETAIN UNTIL: Payment of final estimate PLUS: 3 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 136.28.5
1015.1		project work books containing general project information for the Department of Transportation	RETAIN UNTIL: Payment of final estimate PLUS: 1 year THEN: Destroy	
1015.<		load tickets submitted to the Department of Transportation as supporting documents for final estimates	RETAIN UNTIL: Payment of final estimate PLUS: 90 days 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.
 © See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

10.2 Infrastructure Design and Planning

DEFINED: Activities related to the design of public buildings and other public works.

SEE ALSO: For preconstruction project records for transportation projects, see Construction Management. Environmental impact statements and certifications for laboratories, plants, and technicians are covered under MONITORING AND COMPLIANCE. Due diligence investigations of potential contractors and engineering firms are also covered under MONITORING AND COMPLIANCE. Surplus property that belongs to a state agency is tracked under ASSET MANAGEMENT.

10.2

RC No.	Record Types	Description	Disposition Instructions	Citation
1021.A	Aviation Planning Records	records compiled by the Department of Transportation concerning aviation studies for NC airports; also includes planning and development records for private and public airports	PERMANENT (archival) ∞	
1022.S	Design Plans SEE ALSO: As-Built Drawings (above)	includes let plans used for bidding, mix designs for construction materials, and planimetrics	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1023.3	Dropped Projects Records	records concerning projects that were canceled prior to completion or requested projects that were not undertaken; also includes projects that have either been deferred or deleted by the Department of Transportation	RETAIN UNTIL: Canceled/Rejected PLUS: 3 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.

© 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	Description	Disposition Instructions	Citation
1024.P	House Moving Records	records of the Department of Transportation concerning state- and federal-aid projects involving the relocation of dwellings; includes proposals and contracts, powers of attorney, contract bonds, owners' releases, bid procedures and correspondence, pay orders, move procedures, contract insurance, and payments	PERMANENT	
1025.3	Materials Testing Records	records produced by the Department of Transportation; includes field inspection reports, sample information, and test results	RETAIN UNTIL: Closing of work order PLUS: 3 years THEN: Destroy	
1026.P	National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records	records concerning historical Department of Transportation projects or those with a wide-ranging impact; includes public hearing transcripts, environmental impact studies (including categorical exclusions), technical reports, environmental permits, environmental evaluations, and supporting maps and images	PERMANENT (appraisal required) ∞	
1026.3		records concerning routine Department of Transportation projects	RETAIN UNTIL: Final voucher pay date PLUS: 3 years THEN: Destroy	
1027.P	Photogrammetric Project Records	imagery and associated textual data collected by the Department of Transportation	PERMANENT	
1027.15		preconstruction mapping by the Department of Transportation	RETAIN UNTIL: Project delivery PLUS: 15 years THEN: Destroy	
	(continued on following page)			

* 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.
 © 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	Description	Disposition Instructions	Citation
1027.10	Photogrammetric Project Records (cont.)	records produced by the Department of Transportation in support of transportation projects; includes construction earthwork computations	RETAIN UNTIL: Project delivery PLUS: 10 years THEN: Destroy	
1027.<		raw data associated with sensor collection by the Department of Transportation; includes imagery data as well as positioning and orientation data	RETAIN UNTIL: Flight complete PLUS: 6 months THEN: Destroy	
1028.3	Preconstruction Project Records SEE ALSO: Transportation Projects (above)	records concerning construction planning for projects other than roads or transportation infrastructure; includes technical records regarding drainage requirements, erosion and sedimentation control analyses, and documents used to establish the location of corridors and limits of rights-of-way	RETAIN UNTIL: Closing of work order PLUS: 3 years THEN: Destroy	
1029.P	Surplus Property Records SEE ALSO: Inventory Management Records (ASSET MANAGEMENT)	records collected by the Department of Transportation concerning the appraisal and acquisition of surplus property acquired in the purchasing of right-of-way parcels; also includes correspondence and reports regarding relocation assistance offered property owners	PERMANENT	
10210.S	Surveys and Maps	surveys and other maps used for facility design and land acquisition; also includes maps of state-owned corridors, infrastructure, and properties	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.
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RC No.	Record Types	Description	Disposition Instructions	Citation
10211.P	Utilities Tip Projects Records	records collected by the Department of Transportation concerning the removal or relocation of utility facilities that conflict with highway construction or improvement; includes reports, requests for authorization, pole data sheets, estimated costs, utility relocation agreements and plans, and correspondence	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.
 Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
 © See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

10.3 Transportation Management and Safety


DEFINED: Activities related to the management of the state’s transportation infrastructure, including efforts to improve safety.

SEE ALSO: License plate data captured automatically for law enforcement purposes and collision reports are under LAW ENFORCEMENT. Permits issued by the Department of Transportation (e.g., driver’s license) as well as inspections carried out for evaluating compliance are under MONITORING AND COMPLIANCE.

10.3

RC No.	Record Types	Description	Disposition Instructions	Citation
1031.P	Designations Records	records maintained by the Department of Transportation concerning scenic byways and honorary designations for state roads/bridges/ferries; includes approved application forms, maps, photographs, and other related records	PERMANENT	
1031.3		rejected applications and other related records	RETAIN UNTIL: Rejected PLUS: 3 years THEN: Destroy	
1032.5	Dredge Reports	data fields maintained by the Department of Transportation consisting of names of projects, dates of projects, number of hours worked, lost time, number of tonnage, and other related data	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1033.<	Incident Management Assistance Records SEE ALSO: Collision Reports (LAW ENFORCEMENT)	includes dispatch information, activity logs, wrecker authorizations, and other related records within the Department of Transportation	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy	
1034.3	Infrastructure Inspection Records (continued on following page)	records concerning post-construction inspections conducted to assess the integrity of infrastructure	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 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.
 © 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	Description	Disposition Instructions	Citation
1034.A	Infrastructure Inspection Records (cont.)	records concerning special structures owned by other state agencies and inspected by the Department of Transportation	PERMANENT (archival) ∞	
1035.P	Infrastructure Inventories	records required by the U.S. Department of Transportation; includes infrastructure assets such as railroad crossings, tunnels, and bridges; file also includes digital images	PERMANENT	<u>Authority</u> 23 USC 144 (b) 23 CFR 650.315
1036.4	Infrastructure Maintenance Records	includes roadside maintenance as well as road and rail repairs overseen by the Department of Transportation	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	
1037.<	Litter Reports	include reports of littering and formal notifications by the Department of Transportation to motorists who litter	RETAIN UNTIL: Notification THEN: Destroy	
1038.3	Safety Investigation Records	records maintained by the Department of Transportation; includes crash reports and other records evaluating cost-benefit of warning devices and other proposed improvements to roads and railroads; also includes requests for speed limit, sign, signal, and route changes	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
1039.< 	Traffic Cameras and Radio Frequency (RF) Readers SEE ALSO: Automatic License Plate Reader System (LAW ENFORCEMENT)	records collected by the Department of Transportation; includes pictures of license plates, RF data, and footage of major thoroughfares	RETAIN UNTIL: Created PLUS: 30 days THEN: Destroy	<u>Confidentiality</u> G.S. § 136.89-213(a1)
10310.S	Traffic Information	records distributed by the Department of Transportation via 511 Information Line	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.

© 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	Description	Disposition Instructions	Citation
10311.10	Traffic Recorder Counts	forms collected by the Department of Transportation showing time, county, station number, location, month, readings, count/estimate, and remarks	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
10312.6	Traffic Safety Project Records 	records maintained by the Department of Transportation concerning traffic safety studies such as hazard elimination projects, safety evaluations, crash analyses, and traffic engineering accident analyses; includes project concepts, justification reports, funding requests and authorizations, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	<u>Confidentiality</u> 18 USC § 2721 G.S. § 20-43.1
10313.3	Transportation Mobility and Safety Project Records	records of the Department of Transportation concerning projects for signs, sign materials, pavement markings, signals, and geometric designs; includes specifications and drawings, correspondence, cost estimates, certificates of conformance, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
10314.2	United States Coast Guard (USCG) Deck and Engineer's Logs 	records maintained by the Department of Transportation concerning the operation of state-owned ferries; includes captains' records of daily activity, traffic transported, number of trips, incidents, and other related records; also includes engineers' information about start ups, shut downs, and gauge readings	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy*	<u>Confidentiality/Retention</u> 33 CFR 104.235

* 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.

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

Records That Will Transfer to the State Records Center

Appendix

1011.P As-Built Drawings: Transfer paper records to the State Records Center 2 years after completion of project to be microfilmed for permanent security storage. Paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in security storage at the State Records Center. A duplicate copy of the microfilm will be purchased and retained permanently by the agency.

Agency	Series Title	Item Number
Department of Administration	As-Built Drawings File	34


1012.100 Construction Records: Transfer to the State Records Center 2 years after completion (or closing) of project. Records will be held for agency 98 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Administration	Correspondence File	35

1013.3 Federal-Aid Transportation Projects: Transfer to the State Records Center after final voucher payment is received from the Federal Highway Administration. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Field Books (Federal-Aid Projects) File	3121
	Inactive Federal-Aid Projects (Reports and Correspondence) File	2952
	Load Tickets (Federal-Aid Projects) File	3119

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

1014.10 Mitigation Site Records: Transfer to the State Records Center records concerning projects requiring monitoring 5 years after completion of monitoring. Transfer to the State Records Center records concerning projects that do not require monitoring 5 years after project is constructed and accepted. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Active Mitigation Projects File	50729
	Active Projects File	50730

1015.3 State Transportation Projects: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency 3 additional years and then destroyed.


Agency	Series Title	Item Number
Department of Transportation	Field Books (State Projects) File	3120
	Inactive State Projects (Reports and Correspondence) File	2957
	Load Tickets (State Projects) File	3118

1021.A Aviation Planning Records: Transfer to the State Records Center when superseded or when airport closes. Records will transfer immediately to the custody of the Archives.











Agency	Series Title	Item Number
Department of Transportation	Airports Planning and Development History File	16410
	Division of Aviation Master Plan File	16405
	North Carolina State Aviation System Planning File	16404




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

1026.P National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records: Transfer environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Transportation	Bridge Replacement (B) Program File	46151 
	Enhancement (E) Program File	46152 
	Ferry (F) Program File	46154 
	Highway Hazard and Safety (W) Program File	46155 
	Interstate (I) Program File	46156 
	Landscape (K and L) Program File	46157 
	Passenger Rail (P) Program File	46158 
	Railway/Highway Crossing (Y and Z) Program File	46159 
	Rural and Special (R, A, and X) Program File	46160 
	Urban (U) Program File	46162 

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




1034.A Infrastructure Inspection Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Department of Transportation	Special Structures File	25064

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



11. Law Enforcement

Law Enforcement records document the efforts of state agencies to protect the lives and property of the state’s residents and people who visit and work in the state as well as to supervise adults and juveniles sentenced after conviction for violations of North Carolina law. This function focuses on efforts to ensure compliance by individuals and organizations with laws; for the broader enforcement of regulations and codes to entities and organizations, see MONITORING AND COMPLIANCE. For court orders and process service, see LEGAL. Law enforcement records from the Office of the Governor are included under GOVERNANCE.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 11.1 Corrections Management
 - 1111 Adult Offender Records
 - 1112 Correctional Facilities Security Recordings
 - 1113 Death Row Inmate Jackets
 - 1114 Juvenile Offender Records
 - 1115 Offender Management Records
 - 1116 Probation Supervision Records
 - 1117 Safekeeper Records
- 11.2 Crime Prevention
 - 1121 Agent Records
 - 1122 Analysis Records
 - 1123 Communications Records
 - 1124 Incident Reports
 - 1125 Interstate Identification Index (III) System
 - 1126 Offender Registries
- 11.3 Criminal Investigations
 - 1131 Accident Reports
 - 1132 Contraband and Seized Property Records
 - 1133 Crime Reports
 - 1134 Disposition of Charges
 - 1135 Evidence Management Records
 - 1136 Laboratory Case Records
 - 1137 Law Enforcement Case Records
 - 1138 Law Enforcement Recordings



- 11.4 Executive Protection and Special Security Event Services
 - 1141 Event Forms
 - 1142 Security Arrangements
- 11.5 Fugitive and Criminal Apprehension and Other Searches
 - 1151 All-Points Bulletins
 - 1152 Arrest Records
 - 1153 Missing Persons Records
 - 1154 Rewards File
 - 1155 Runaways File
- 11.6 Traffic Safety
 - 1161 Automatic License Plate Reader System
 - 1162 Collision Reports
 - 1163 Escorts Records
 - 1164 Traffic Citations and Warnings

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 Law Enforcement records have archival value, although many record types have long retention periods (e.g., sex offender registries [RC No. 1126] should be retained in office permanently). The retention periods for many law enforcement records are triggered by the conclusion of a case or investigation; for this reason, it is best to organize Law Enforcement records chronologically according to these trigger events. For example, by doing so, in 2018 an agency could easily identify and destroy any confinement reports (RC No. 1115) that were completed before 2015.

Many Law Enforcement records are confidential, so great care should be taken to ensure that access is limited to those with proper authorization. The 1972 NC Court of Appeals decision in *Goble v. Bounds* (13 N.C. App. 579) affirmed that prison records of inmates are confidential and not subject to inspection by the public. General Statute § 132-1.4 specifies that records of criminal investigations conducted by public law enforcement agencies and records of criminal intelligence information compiled by public law enforcement agencies may only be released by order of a court of competent jurisdiction; it also lists the law enforcement and court records that are public, including information about persons arrested/charged/indicted as well as returned arrest and search warrants (see (c) and (k) for a complete list).

There may be court orders that override the authorization for destruction provided by this records schedule; in such cases, no destructions should occur.

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.







11.1 Corrections Management

DEFINED: Activities conducted by the Department of Public Safety (DPS) related to the care, custody, and supervision of adults and juveniles sentenced to correctional facilities after conviction for violating North Carolina law. According to G.S. § 132-1.7, “specific security information or detailed plans, patterns, or practices associated with prison operations” are not public records. According to G.S. § 132-11, “juvenile, probationer, parolee, post-releasee, or prison inmate record[s], including medical and mental health records” are exempted from the time limitation on confidentiality of records. Additional confidentiality restrictions are cited below.

SEE ALSO: Records pertaining to the training provided to offenders are covered under EDUCATION. The financial records for work release funds are under FINANCIAL MANAGEMENT. Medical records for offenders are under HEALTHCARE. Records pertaining to juvenile offenders who are not placed in a DPS facility are held in the Juvenile Court Counselor’s Case Records under LEGAL, as are expungements and appeals of inmate grievances. Commutations, pardons, and reprieves are under GOVERNANCE. Surveillance system reports and recordings are under RISK MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1111.10 	Adult Offender Records SEE ALSO: Transition File (EDUCATION), Legal Case Records (LEGAL)	combined inmates records maintained by the Department of Public Safety; includes all prison, parole, and probation information, history cards, legal information, forms related to inmate control, incident reports, financial records, personal property inventories, transportation logs, visitor logs, work release funds, and other related records	RETAIN UNTIL: Release and conclusion of supervision PLUS: 10 years Ω THEN: Destroy	<u>Authority</u> G.S. § 148-74 G.S. § 148-76
1111.3 	Records (LEGAL)	other inmate records maintained by DPS; includes classifications, communications, death, grievances, meals/menus, physical force documentation, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Retention</u> 10A NCAC 14J .1723






* 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
1112.< 	Correctional Facilities Security Recordings	surveillance system reports and recordings of Department of Public Safety correctional facilities	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy* <i>NOTE: Records that become part of a case file should be handled according to those disposition instructions.</i>	<u>Confidentiality</u> G.S. § 132-1.7(a1)
1113.A 	Death Row Inmate Jackets	records maintained by the Department of Public Safety concerning inmates sentenced to death who are executed or otherwise die while on death row; includes commitment information, death row investigation, correspondence, and recommendations of the Parole Commission	PERMANENT (archival) ∞	
1114.10 ₁ 	Juvenile Offender Records SEE ALSO: Cumulative Record, Services to Students with Disabilities, Transition File (EDUCATION)	petitions and juvenile court orders, secure custody orders, admission sheets, inventory sheets, medical records, daily behavior reports, room check logs, accident/injury reports, special management reports, runaway reports, incident reports, release orders and forms, and other related records for juveniles placed in Department of Public Safety detention centers	RETAIN UNTIL: Juvenile reaches 18 years of age PLUS: 10 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 7B-3100
1114.10 ₂ 	(EDUCATION)	commitment data forms, court orders, transfer summaries, conditional release forms, final discharge forms, and other related records for juveniles placed in DPS youth development centers	RETAIN UNTIL: Juvenile reaches 18 years of age PLUS: 10 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 7B-3100

* 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
1115.3 	Offender Management Records	confinement reports, inspections, population lists, and other related operational records for Department of Public Safety facilities	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.7(a1)
1115.6 		Prison Rape Elimination Act (PREA) – allegation, investigation, and incident review records documenting investigations into allegations of sexual abuse or sexual harassment	RETAIN UNTIL: Separation PLUS: 6 years THEN: Destroy* <i>NOTE: If a minor is involved in the incident, records should be retained until the minor reaches age 30.</i>	<u>Authority</u> 28 CFR Part 115
1115.10 		Prison Rape Elimination Act (PREA) – aggregated data for every allegation of sexual abuse at DPS lockups	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Authority</u> 28 CFR Part 115.187 <u>Retention</u> 28 CFR 115.189(d)
1116.2 	Probation Supervision Records	records maintained by the Department of Public Safety concerning out-of-state post-release supervisions for juvenile offenders	RETAIN UNTIL: Closed PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> G.S. § 7B-3001 G.S. § 7B-3100
1117.3 	Safekeeper Records	records maintained by the Department of Public Safety regarding prisoners held in state facilities on behalf of county or municipal jails	RETAIN UNTIL: Release or transfer PLUS: 3 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.




11.2 Crime Prevention

DEFINED: Activities concerning efforts to create safer communities by addressing the causes of crime and reducing opportunities for crimes to occur.

NOTE: Records that become part of a case file should be handled according to those disposition instructions.

SEE ALSO: Criminal Investigations. Records concerning the implementation of court orders (e.g., writs, warrants) are under LEGAL. Gun permits are covered under MONITORING AND COMPLIANCE. Community safety programming is under PUBLIC RELATIONS.




11.2

RC No.	Record Types	Description	Disposition Instructions	Citation
1121.5 	Agent Records	records that facilitate the work of agents involved in crime prevention activities	RETAIN UNTIL: Superseded/Obsolete PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 20-39.1
1122.S 	Analysis Records	activity reports, field observations, intelligence reports, investigative reports, surveillance, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.4 G.S. § 132-1.7(a2) <u>Authority/</u> <u>Confidentiality/</u> <u>Retention</u> 28 CFR 23.20
1123.< 	Communications Records	computer-aided dispatch (CAD), radio logs, and alarm call responses; also includes 911 recordings, messages, and database	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy* <i>NOTE: Records that become part of a case file should be handled according to those disposition instructions</i>	<u>Confidentiality</u> G.S. § 132-1.5 <u>Retention</u> G.S. § 132-1.4(i) <i>NOTE: See G.S. §132-1.4(c) for a definition of which records can be made public.</i>

* 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
1124.<	Incident Reports	reports of non-emergency incidents received electronically or via telephone	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy* <i>NOTE: Records that become part of a case file should be handled according to those disposition instructions.</i>	
1125.P 	Interstate Identification Index (III) System (administered according to the National Crime Prevention and Privacy Compact)	fingerprint and photograph records maintained by the State Bureau of Investigation	PERMANENT	<u>Confidentiality</u> G.S. § 143B-981 (Article IV) <u>Retention</u> G.S. § 7B-2102(e)
1125.< 		fingerprint and photograph records maintained by the SBI of juveniles when a decision is made not to file a petition, the court does not find probable cause, or the court does not adjudicate the juvenile delinquent	RETAIN UNTIL: Decision THEN: Destroy	
1125.2 		criminal history checks conducted by the SBI (on behalf of other agencies) that are not part of criminal investigations	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	
1126.P	Offender Registries	records maintained by the Department of Public Safety documenting the registration of sex and kidnapping offenders; includes name, sex, address, physical description, picture, conviction date, offense for which registration was required, the sentence imposed as a result of the conviction, and registration status	PERMANENT	<u>Authority</u> G.S. § 14-208.14 G.S. § 14-208.15 <u>Retention</u> G.S. § 14-208.13

* 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.



11.3 Criminal Investigations





DEFINED: Activities concerning investigations of suspected or actual violations of the law.

NOTE: According to General Statute § 132-1.4, records of criminal investigations conducted by public law enforcement agencies and records of criminal intelligence information compiled by public law enforcement agencies may only be released by order of a court of competent jurisdiction. See G.S. § 132-1.4(c) for a definition of records that should be accessible to the public.

SEE ALSO: Investigations that do not involve criminal charges are under MONITORING AND COMPLIANCE. Security recordings of the workplace are under RISK MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1131.3	Accident Reports SEE ALSO: Law Enforcement Case Records (below)	reports by state law enforcement and peace officers concerning accident investigations that do not lead to criminal charges	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*	
1132.3	Contraband and Seized Property Records	inventories, receipts, and disposition records; also includes records concerning asset forfeiture	RETAIN UNTIL: Final disposition of property PLUS: 3 years THEN: Destroy	
1133.R	Crime Reports	includes National Incident-Based Reporting System and Uniform Crime Reporting System	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
1134.P	Disposition of Charges	reports from the court system maintained by the State Bureau of Investigation	PERMANENT	Authority G.S. § 15A Article 86


* 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
1135.5	Evidence Management Records	records documenting the intake, management, and disposition of property seized by the agency as evidence or for safekeeping <i>NOTE: Does not include the actual evidence, which should be managed in accordance with applicable federal, state or local law, court order, and/or agency policy.</i>	RETAIN UNTIL: Disposition of relevant case or property PLUS: 5 years THEN: Destroy	
1136.P 	Laboratory Case Records	records concerning cases examined in a crime laboratory; includes reports, notes, charts, and other related records	PERMANENT	<u>Confidentiality</u> G.S. § 132-1.4
1137.20 	Law Enforcement Case Records	reports, correspondence, interviews, and other related records for felony cases	RETAIN UNTIL: Disposition of case and exhaustion of any appeals PLUS: 20 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.4
1137.5 	<i>Note: Felony cases must be retained until solved. Unsolved misdemeanor cases that are not malicious may be destroyed after 3 years.</i>	reports, correspondence, interviews, and other related records for tax enforcement cases investigated by the Department of Revenue	RETAIN UNTIL: Disposition of case and exhaustion of any appeals PLUS: 5 years THEN: Destroy	
1137.3 		reports, correspondence, interviews, and other related records for misdemeanor cases	RETAIN UNTIL: Disposition of case and exhaustion of any appeals PLUS: 3 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
1138.< 	Law Enforcement Recordings SEE ALSO: Law Enforcement Case Records (above), Automatic License Plate Reader System (below), Workplace Security Records (RISK MANAGEMENT)	recordings by law enforcement officers and peace officers that are not known to have captured a unique or unusual incident or action from which litigation or criminal prosecution is expected or likely to result; includes body-worn cameras, dashboard cameras, and fixed cameras	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy* <i>NOTE: Records that become part of a case file should be handled according to those disposition instructions.</i>	<u>Confidentiality</u> G.S. § 132-1.4A

* 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.

11.4 Executive Protection and Special Security Event Services

DEFINED: Activities concerning efforts of the State Bureau of Investigation, the General Assembly Police, the State Capitol Police, the State Highway Patrol, and other State law enforcement officers to protect the health and well-being of high-level government officials and people who visit and work in North Carolina.

11.4

SEE ALSO: Permits issued for events on State property are under ASSET MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1141.1 	Event Forms	forms and reports concerning security and transportation for the Governor, First Spouse, and Lieutenant Governor and for special events	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.7(a)
1142.1 	Security Arrangements	itineraries, travel arrangements, and other related records for VIPs needing protective services	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.7(a)

* 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.

11.5 Fugitive and Criminal Apprehension and Other Searches


DEFINED: Activities concerning searches for missing persons, runaways, fugitives, and persons suspected of criminal activity.

SEE ALSO: Any forms or reports related to searches conducted by law enforcement officers pursuant to a warrant are included in Law Enforcement Case Records. Searches conducted incident to an inspection are under MONITORING AND COMPLIANCE. Extradition case records and rewards overseen by the Office of the Governor are under GOVERNANCE.

11.5

RC No.	Record Types	Description	Disposition Instructions	Citation
1151.R	All-Points Bulletins	information distributed to law enforcement personnel providing details of a suspected criminal or stolen vehicle	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
1152.5	Arrest Records	records produced when a person is taken into custody; includes Miranda affidavits, fingerprints, photographs, arrest reports, and other related records	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy* <i>NOTE: Records that become part of a case file should be handled according to those disposition instructions.</i>	
1153.5	Missing Persons Records	alerts issued by the State Highway Patrol; includes AMBER, Blue, and Silver alerts	RETAIN UNTIL: Resolution PLUS: 5 years THEN: Destroy	
1154.3	Rewards File SEE ALSO: Extraditions (GOVERNANCE)	records concerning rewards offered by the agency for the apprehension of a fugitive from justice	RETAIN UNTIL: Resolution PLUS: 3 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
1155.1 ¹ / ₂ 	Runaways File	records in the Department of Public Safety concerning runaways, absconders, and escapees returned to North Carolina from another state or located in North Carolina and returned to the home (demanding) state; includes secure custody order, voluntary return agreement requisition, travel plans, and other related records	RETAIN UNTIL: Juvenile reaches age 18 PLUS: 18 months THEN: Destroy	<u>Authority</u> Interstate Compact on Juveniles <u>Confidentiality</u> G.S. § 7B-3001 G.S. § 7B-3100

11.5

* 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.


11.6 Traffic Safety

DEFINED: Activities concerning efforts to ensure the safety, security, and efficiency of transportation and infrastructure networks, facilities, and vehicles.

NOTE: Records that become part of a case file should be handled according to those disposition instructions.

SEE ALSO: Criminal Investigations. Traffic cameras and license plate readers for toll roads are under INFRASTRUCTURE MANAGEMENT, as are incident management assistance records. Citations that lead to a court appearance are under LEGAL. Agency copies of accident reports involving State vehicles are under RISK MANAGEMENT.

11.6

RC No.	Record Types	Description	Disposition Instructions	Citation
1161. < 	Automatic License Plate Reader System SEE ALSO: Traffic Cameras and Radio Frequency Readers (INFRASTRUCTURE MANAGEMENT)	captured plate data obtained by an automatic license plate reader system, operated by or on behalf of a law enforcement agency for law enforcement purposes	RETAIN UNTIL: Captured PLUS: 90 days THEN: Destroy	<u>Confidentiality/Retention</u> G.S. § 20-183.32
1162.5	Collision Reports SEE ALSO: Incident Management Assistance Records (INFRASTRUCTURE MANAGEMENT)	investigations surrounding accidents that involve vehicles along with pedestrians, cyclists, animals, or other objects	RETAIN UNTIL: Resolution PLUS: 5 years THEN: Destroy*	
1163.1	Escorts Records	records concerning law enforcement escorts for house moves, over-width and over-height loads, processions, and other related records	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
1164.2	Traffic Citations and Warnings	includes voided citations and warnings that do not require a fine or court appearance	RETAIN UNTIL: Complete PLUS: 2 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.



Records That Will Transfer to the State Records Center

Appendix

1111.10 Adult Offender Records: Transfer to the State Records Center after 3 years (see below for more specific triggers). Records will be held for agency 7 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Public Safety	Adult Probation and Parole Case File (after closing of case)	638
	Combined Inmates Records File (after release)	632
	Presentence Diagnostic Case File (after completion of case study)	671

1113.A Death Row Inmate Jackets: 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	Death Row Inmate Jacket (Capital Case) File	667

1114.10 Juvenile Offender Records: Transfer to the State Records Center when juvenile reaches 18 years of age. Records will be held for agency 10 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Public Safety	Detention Centers Juvenile File	2244
	Youth Development Centers Main File	2229

1137.20 Case Records: Transfer to the State Records Center 3 years after case is closed. Records will be held for agency 17 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Agriculture and Consumer Services	Forestry Administration Cases File	24173
Department of Insurance	Fraud Investigations File	3403
Department of the Secretary of State	Securities Division Closed Investigation Cases File	3840

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.



12. Legal

The Legal function involves protecting the rights, obligations, and interests of the agency or its individual employees or constituents.

NOTE: Administrative investigations, employee civil rights complaints, personnel contracts, and employee grievance hearings are under HUMAN RESOURCES. Construction contracts negotiated by the Departments of Administration and Transportation are under INFRASTRUCTURE MANAGEMENT.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 12.1 Affidavits, Authorizations, and Authentications
 - 1211 Affidavits of Publication
 - 1212 Authentications
 - 1213 Delegation of Authority Records
 - 1214 Permissions
 - 1215 Release Forms
 - 1216 Traffic Ordinances
 - 1217 Vehicle and Vessel Titles
- 12.2 Agency Hearings
 - 1221 Eugenics Compensation Program Records
 - 1222 OAH Case Records
 - 1223 Other Administrative Hearings
 - 1224 Recordings of Hearings
 - 1225 Tort Claims
 - 1226 Workers' Compensation Program Claims
- 12.3 Contract Management
 - 1231 Compacts
 - 1232 Contracts
 - 1233 Encroachment Agreements
 - 1234 Real Property Records
 - 1235 Right-of-Way Records
 - 1236 Settlements
 - 1237 Vehicle Titles
- 12.4 Court Records
 - 1241 Court of Appeals Case Records
 - 1242 Expunctions

- 1243 Juvenile Court Counselor’s Case Records
- 1244 Petitions and Motions
- 1245 Supreme Court Records
- 12.5 Deposited Records
 - 1251 Advance Health Care Directive Registry
 - 1252 Charters
 - 1253 Financing Statements
 - 1254 Foreign Government Agreements
 - 1255 Land Records
 - 1256 Licensing Board Reports
 - 1257 Ordinances and Regulations
- 12.6 Legal Matters Management
 - 1261 Attorney General’s Advice and Opinions
 - 1262 Declaratory Rulings
 - 1263 Discrimination Complaint Investigations
 - 1264 General Legal Correspondence
 - 1265 Legal Case Records
 - 1266 Legal Opinions
- 12.7 Vital Records
 - 1271 Birth Records
 - 1272 Death Records
 - 1273 Divorce Records
 - 1274 Marriage Records

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>.

The trigger to begin the retention period for many Legal records is the closing of a case, so it is vital to be able to identify cases by this date for the purpose of appropriate destructions. In the case of litigation, records that are listed as standalone series may be subsumed into the case record (RC No. 1265), in which case they should be retained alongside the other records pertaining to the case rather than pulled out and destroyed earlier. For example, an attorney may collect in the course of litigation affidavits, correspondence, pleadings, deposition transcripts, and experts' reports.

NOTE: Settlement agreements sometimes include specifications for the retention of relevant records; the more restrictive retention requirement of this functional schedule or the settlement agreement should be followed.



G.S. § 132-1.1 confers confidentiality under the principle of attorney-client privilege for a period of three years from the date written communications are received, and G.S. § 132-1.9 allows the custodian to deny access to a public record that is also trial preparation material, so care must be taken to protect the confidentiality of these records. The State Archives of North Carolina (SANC) recognizes that some case records bear significance for the entire state because they set precedent or have broad applicability, so SANC will work with agencies to identify these cases for permanent archival retention.

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.



12.1 Affidavits, Authorizations, and Authentications
DEFINED: Activities related to assignments of authority and attestations of authenticity.
SEE ALSO: Affidavits for service by publication are part of Legal Case Records (see Legal Matters Management). Permission slips for school field trips are under EDUCATION. Records concerning bond obligations are under FINANCIAL MANAGEMENT. Permits and licenses granted by state agencies are under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1211.P	Affidavits of Publication SEE ALSO: Legal Case Records (below)	proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.; record provides only evidence of publication	PERMANENT	<u>Authority</u> G.S. § 1-600
1211.3		affidavits that provide supplementary evidence of publication	RETAIN UNTIL: Received or created PLUS: 3 years THEN: Destroy	
1212.P	Authentications	certificates of authentication issued by the agency	PERMANENT	
1213.1	Delegation of Authority Records	records documenting delegations of power to authorize agency business; includes signature authorities and powers of attorney	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	
1214.P	Permissions	records conferring perpetual legal permission; includes copyright permission requests and requests for permission to publish intellectual property or holdings of the agency; also includes copyrights, patents, and trademarks held by the agency	PERMANENT	
1214.3		one-time copyright permissions granted by the agency	RETAIN UNTIL: Expiration PLUS: 3 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.




RC No.	Record Types	Description	Disposition Instructions	Citation
1215.5	Release Forms SEE ALSO: Settlements, Tort Claims (below); Field Trip Authorizations (EDUCATION)	records documenting consent and waiving the individual's right to hold the agency responsible for injuries or damages occurring while voluntarily participating in events or activities; also includes consent forms for publicity purposes	RETAIN UNTIL: Termination of release/waiver PLUS: 5 years THEN: Destroy*	
1216.3	Traffic Ordinances	records promulgated by the Department of Transportation concerning approved statewide traffic ordinances for speed limits, no parking zones, route number changes, bridge weight limits, and other traffic ordinances; includes Certificate of Rulemaking (COR), municipal certificate for traffic ordinance requiring concurrent approval, and other related records	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
1217.3	Vehicle and Vessel Titles	records concerning vessel titles issued by the Wildlife Resources Commission; includes title transfers, applications, lien releases, bills of sale, original manufacturer's statements of origin, and other related records	RETAIN UNTIL: Canceled/transferred PLUS: 3 years THEN: Destroy	
1217.20		records concerning vehicle titles issued by the Department of Transportation; includes title transfers, applications, lien releases, bills of sale, original manufacturer's statements of origin, and other related records	RETAIN UNTIL: Issued PLUS: 20 years THEN: Destroy <i>NOTE: After 20 years, the Division shall maintain a record of the last two owners.</i>	<u>Authority/Retention</u> G.S. § 20-78

* 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.

12.2 Agency Hearings

DEFINED: Records documenting hearings and investigations conducted on behalf of other agencies by the Office of Administrative Hearings (OAH) or by the North Carolina Industrial Commission (NCIC). Also includes evaluations of tort claims by the Department of Justice as well as other administrative hearings outlined in G.S. §150B Article 3A.

SEE ALSO: See Court Records for judicial court proceedings. The records of hearings regarding the provision of services to students with disabilities are under EDUCATION; public hearings that are reviewing proposed administrative rules are under GOVERNANCE; those involving licensed individuals or firms are under MONITORING AND COMPLIANCE; those convened for general public feedback are under PUBLIC RELATIONS. Reports of employee accidents and incidents that are handled within the agency (and do not require a claim to the Workers' Compensation Program) are under RISK MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1221.A 	Eugenics Compensation Program Records	Industrial Commission records concerning determination of a claimant's eligibility and awards to eligible claimants; includes claims, medical records, correspondence, determinations, appeals, payment information, records of hearings, and other related records	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 132-1.23
1222.50	OAH Case Records	records concerning contested cases at Office of Administrative Hearings involving state agencies; includes petitions, orders, transcripts, pleadings, and other related records	RETAIN UNTIL: Closed PLUS: 50 years Ω 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
1223.3	Other Administrative Hearings SEE ALSO: Investigation and Hearing Records (MONITORING AND COMPLIANCE)	records concerning administrative hearings involving individuals or other entities held by occupational licensing boards, the State Banking Commission, the Commissioner of Banks, the Credit Union Division of the Department of Commerce, the Department of Insurance and the Commissioner of Insurance, the State Chief Information Officer, and the North Carolina State Building Code Council; includes notices, pleadings, motions, and intermediate rulings, questions and offers of proof, objections, and rulings thereon, evidence, findings and exceptions, decisions, opinions, orders, or reports, and other related records	RETAIN UNTIL: Closed PLUS: 3 years THEN: Destroy	Authority G.S. § 150B Article 3A
1224.10	Recordings of Hearings	recordings of hearings as well as minutes	RETAIN UNTIL: Closed or final disposition of hearing request PLUS: 10 years THEN: Destroy	
1225.7 ₁	Tort Claims	records concerning claims by adults against the state; includes cases involving Department of Justice representation and cases heard by the Industrial Commission	RETAIN UNTIL: Closed PLUS: 7 years Ω THEN: Destroy	Authority G.S. § 143 Article 31
1225.7 ₂		records concerning claims on behalf of a minor against the state; includes cases involving Department of Justice representation and cases heard by the Industrial Commission	RETAIN UNTIL: Closed PLUS: 7 years or until minor plaintiff attains the age of 21, whichever is greater THEN: Destroy	Retention G.S. § 143-300


* 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
1226.60 	Workers' Compensation Program Claims <i>NOTE: All official copies of claims records should be transferred to the North Carolina Industrial Commission (NCIC) in compliance with G.S. § 97-92(a).</i>	records concerning workers' compensation claims with the Industrial Commission (NCIC); includes NCIC forms, correspondence, reports of accidents and occupational disease, medical records, deposition and hearing transcripts, compensation documentation, NCIC decisions, and other related records	RETAIN UNTIL: Received PLUS: 60 years THEN: Destroy	<u>Confidentiality</u> G.S. § 97-92 <u>Retention</u> <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258, 425 S.E.2d 698 (1993)
1226.5 ₁ 		any records concerning workers' compensation claims submitted to the NCIC electronically	RETAIN UNTIL: Death of claimant PLUS: 5 years THEN: Destroy	
1226.5 ₂ 		records concerning workers' compensation claims with the Industrial Commission (NCIC) that have been adjudicated noncompensable or have a full and final clincher; includes NCIC forms, correspondence, reports of accidents and occupational disease, medical records, deposition and hearing transcripts, compensation documentation, NCIC decisions, and other related records	RETAIN UNTIL: Closed PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 97-92 <u>Retention</u> G.S. § 97-24(c)
1226.5 ₃ 		exhibits presented or introduced at NCIC hearing or in support of a motion where the exhibit is not capable of being scanned and submitted electronically; includes audio, video, placards, and physical objects	RETAIN UNTIL: Final disposition of hearing request or motion PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 97-92 <u>Retention</u> G.S. § 97-24(c)
1226.2 	(continued on following page)	employee reports of injury to NCIC to which no file number is assigned	RETAIN UNTIL: Received PLUS: 2 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 97-92

* 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
1226.5 ₄ 	Workers' Compensation Program Claims SEE ALSO: Accident/Incident Reports (RISK MANAGEMENT), Workers' Compensation Program Administration (HUMAN RESOURCES)	agency's working file for workers' compensation claims by its employees	RETAIN UNTIL: Employee returns to work or separates from agency PLUS: 5 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 126-22

12.2

* 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.



12.3 Contract Management

DEFINED: Activities related to the negotiation of and terms for agreements, contracts, and settlements for state agencies. Also includes documentation of legal ownership including titles and deeds and property records such as encroachment agreements and right-of-way claims.

SEE ALSO: Deeds of gift for objects donated to a state repository are under ASSET MANAGEMENT. The monies collected or paid according to the terms of contracts or leases are under FINANCIAL MANAGEMENT, as are contracts associated with grants. Charters and bylaws for governing bodies as well as personal and financial interest statements by individuals covered by the State Government Ethics Act are under GOVERNANCE. Construction contracts authorized by the Departments of Administration and Transportation are under INFRASTRUCTURE MANAGEMENT. Vehicle titles issued by agencies are under section 12.1.

RC No.	Record Types	Description	Disposition Instructions	Citation
1231.P	Compacts	records concerning intrastate and interstate compacts	PERMANENT	
1232.10	Contracts: documents negotiated with vendors and firms concerning services, equipment, property, and other obligations; includes all document references within contract and relevant correspondence; also includes memoranda of agreement (MOA), memoranda of understanding (MOU), Service Level Agreements (SLA), Statements of Work (SOW), and Non-Disclosure Agreements (NDA) SEE ALSO: Real Property Records (below), Grants Management (FINANCIAL MANAGEMENT), Construction Management (INFRASTRUCTURE MANAGEMENT)	sealed contracts	RETAIN UNTIL: Expiration or termination PLUS: 10 years THEN: Destroy*	Retention G.S. § 1-47(2)
1232.6		contracts relating to capital improvements or business associate agreements	RETAIN UNTIL: Expiration or termination PLUS: 6 years THEN: Destroy*	Retention G.S. § 1-50(a)(5) 45 CFR 164.316
1232.3		all remaining contracts (i.e., not sealed or related to capital improvements)	RETAIN UNTIL: Expiration or supersession PLUS: 3 years THEN: Destroy*	Retention G.S. § 1-52

* 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
1232.1	Contracts (cont.)	records documenting restrictions and compliance with license and copyright provisions for products and services purchased by the agency	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	
1232.P		contracts log maintained by the Department of Administration of all contracts valued at more than \$1 million entered into by state agencies	PERMANENT	<u>Authority</u> G.S. § 114-8.3(c)
1233.P	Encroachment Agreements	records concerning agreements granted by outside entities to the agency; also includes maps or drawings detailing construction plans attached to agreements	PERMANENT	
1233.S	SEE ALSO: Real Property Records (below)	records concerning active and completed agreements granted to utilities, municipalities, businesses, and private property owners to encroach upon state property	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1234.P	Real Property Records SEE ALSO: Accession Records (ASSET MANAGEMENT)	titles, deeds, conveyances, or other instruments whereby the state or any state agency or institution has acquired title to any real property, as deposited with the Department of the Secretary of State	PERMANENT	<u>Authority</u> G.S. § 147-39
1234.<		titles, deeds, conveyances, or other instruments whereby the agency has acquired title to any real property (and records are retained in agency)	RETAIN UNTIL: Disposition of property THEN: Destroy*	
1234.10	SEE ALSO: Encroachment Agreements (above)	records concerning easements granted to the agency	RETAIN UNTIL: Expiration PLUS: 10 years THEN: Destroy*	
1234.6		leases negotiated by the agency to rent land or buildings for a specified period of time	RETAIN UNTIL: Expiration PLUS: 6 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.



RC No.	Record Types	Description	Disposition Instructions	Citation
1235.P	Right-of-Way Records	records concerning open and completed right-of-way projects by the Department of Transportation; includes appraisal cost records, budget records, deeds, judgments, correspondence, notarized right-of-way agreements signed by property owners, and reports detailing the costs and progress of right-of-way activities	PERMANENT	
1236.10	Settlements	records concerning pre-litigation or informal settlements	RETAIN UNTIL: Expiration PLUS: 10 years THEN: Destroy	
1237.T	Vehicle Titles SEE ALSO: Vehicle and Vessel Titles (above)	titles to state-owned vehicles	RETAIN UNTIL: Disposition of vehicle THEN: Transfer to new owner	


* 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.

12.4 Court Records



DEFINED: Documents put into the official records at the office of the Clerk of the Court for the Court of Appeals or the Supreme Court of North Carolina as well as citations issued by state law enforcement officers.

NOTES: Exhibits submitted to courts are addressed by Rule 9(d) of the North Carolina Rules of Appellate Procedure, and records concerning cases examined by crime laboratories are under LAW ENFORCEMENT. Clerks of Superior Court should abide by the Rules of Recordkeeping and the Records Retention Schedule issued through the Administrative Office of the Courts. Court orders, such as citations, subpoenas, and warrants, that may be served by state law enforcement officers are records that must be maintained in the office of the clerk (pursuant to G.S. § 15A-301); copies held by law enforcement officers are reference copies. According to G.S. § 15A-301.1, “The Administrative Office of the Courts shall create and maintain, in cooperation with State and local law enforcement agencies, an automated electronic repository for criminal process (hereinafter referred to as the Electronic Repository), which shall comprise a secure system of electronic data entry, storage, and retrieval that provides for creating, signing, issuing, entering, filing, and retaining criminal process in electronic form.”

SEE ALSO: Statements of costs are under FINANCIAL MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1241.A	Court of Appeals Case Records	records concerning Court of Appeals proceedings and legal arguments; includes original opinions, judgments, and certificates of satisfaction of costs	PERMANENT (archival) ∞	<u>Authority</u> G.S. § 15A-1241
1241.10		docket sheets concerning each case in the Court of Appeals	RETAIN UNTIL: Adjudicated PLUS: 10 years THEN: Destroy	
1241.5		briefs, correspondence, motions, and petitions concerning each case in the Court of Appeals	RETAIN UNTIL: Adjudicated PLUS: 5 years THEN: Destroy	
1242.80 	Expunctions (continued on following page)	file maintained by the Administrative Office of the Courts containing the names of those people for whom it received a notice under G.S. § 15A-150	RETAIN UNTIL: Received PLUS: 80 years THEN: Destroy	<u>Confidentiality</u> G.S. § 15A-151

* 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
1242.< 	Expunctions (cont.)	expunction orders received by state agencies	RETAIN UNTIL: Record is expunged THEN: Destroy	
1243.1½ 	Juvenile Court Counselor's Case Records	records concerning cases of juveniles under supervision of the Department of Public Safety; includes family background information; reports of social, medical, psychiatric and psychological information concerning a juvenile or the juvenile's family; probation reports; interviews with the juvenile's family, and other related records	RETAIN UNTIL: Juvenile reaches age 18 (and has left custody) PLUS: 18 months THEN: Destroy*	<u>Confidentiality</u> G.S. § 7B-3000 G.S. § 7B-3100
1244.5	Petitions and Motions	records concerning legal requests for action by the Court of Appeals on matters where no appeal lies of right or where no record on appeal is filed in the Court (e.g., Petition for Writ of Certiorari)	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1244.1½		records concerning petitions denied by the Supreme Court	RETAIN UNTIL: Received PLUS: 18 months THEN: Destroy	
1245.A	Supreme Court Records (continued on following page)	records concerning each case heard by the Supreme Court; includes index, docket sheets, the record, transcripts, briefs, opinions, and judgments; also includes cases concerning individuals who receive the death penalty	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.

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
1245.A	Supreme Court Records (cont.)	minutes books; includes oaths of office, listings of cases considered by the Supreme Court and their disposition, listings of successful applicants for law licenses, rules and regulations adopted by the Court, and other related records	PERMANENT (archival) ∞	

12.4

* 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.

12.5 Deposited Records

DEFINED: In many cases, state agencies in North Carolina are statutorily required to collect information that is generated outside their offices. In cases where these records are collected in the furtherance of a particular function—for example, annual reports that are used to evaluate the compliance of a business with state regulations—the records are included on that specific functional schedule (in that case, MONITORING AND COMPLIANCE). In all other cases where the agency is merely a repository for information, the records are included here.

SEE ALSO: For reports and directives received from other agencies that are merely reference copies rather than required submissions, see AGENCY MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1251.100	Advance Health Care Directive Registry	agreements filed with the Department of the Secretary of State; includes health care powers of attorney, declarations of a desire for a natural death, advance instructions for mental health treatment, and declarations of an anatomical gift	RETAIN UNTIL: Received PLUS: 100 years THEN: Destroy <i>NOTE: If the agency is notified of revocation of registration, records may be destroyed at that point.</i>	<u>Authority</u> G.S. § 130A-465
1252.P	Charters	charters, amendments, articles of incorporation, and other creation documents recorded and filed with the Department of the Secretary of State	PERMANENT	
		bank charters and articles of amendment filed with the Department of the Secretary of State	PERMANENT	
1252.A		historic charters and amendments dating from the 1880s to 1960s recorded and filed with the Department of the Secretary of State; includes both accepted and denied petitions, drawings, and correspondence	PERMANENT (archival) ∞	
		current edition of the State Constitution and all amendments maintained by the Department of the Secretary of State	PERMANENT (archival) ∞	<u>Authority</u> G.S. § 147-36 (10)

* 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.



12.5

RC No.	Record Types	Description	Disposition Instructions	Citation
1253.P	Financing Statements	notices of liens, certificates, and other notices affecting federal tax liens or other federal liens that must be filed with the Department of the Secretary of State	PERMANENT	<u>Authority</u> G.S. § 44-68.12 <u>Retention</u> G.S. § 44-68.14(b)
1253.1		records concerning those who have secured a loan on commercial or agricultural property by filing with the Department of the Secretary of State, per Uniform Commercial Code (UCC)	RETAIN UNTIL: Effectiveness lapses PLUS: 1 year THEN: Destroy	<u>Authority</u> G.S. § 25-9-501 and § 25-9-519 <u>Retention</u> G.S. § 25-9-515 and § 25-9-522
1254.P	Foreign Government Agreements	copies of all executed memoranda of understanding and agreements of a noncommercial nature otherwise subject to disclosure under the public record laws of this state, entered into by the State of North Carolina, or any agency of the state, and a foreign government and filed by the state agency with the Secretary of State	PERMANENT	<u>Authority</u> G.S. § 66-280
1255.A	Land Records	annexation ordinances and maps submitted by North Carolina municipalities to the Department of the Secretary of State	PERMANENT (archival) ∞	
1255.P		maps of county and state boundaries, rivers, roads, watersheds, and other locations recorded and filed with the Department of the Secretary of State	PERMANENT	
1256.A	Licensing Board Reports	reports of licensing boards filed with the Department of the Secretary of State	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.
 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
1257.A	Ordinances and Regulations	records documenting ordinances, rules, regulations, etc. promulgated by entities required to file with the Department of the Secretary of State	PERMANENT (archival) ∞	

12.5

* 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.

12.6 Legal Matters Management

DEFINED: Records documenting legal matters handled by attorneys on behalf of state agencies.

NOTES: G.S. § 132-1.1 specifies that for a period of three years from the date received, “written communications (and copies thereof) to any public board, council, commission or other governmental body of the State or of any county, municipality or other political subdivision or unit of government, made within the scope of the attorney-client relationship by any attorney-at-law serving any such governmental body, concerning any claim against or on behalf of the governmental body or the governmental entity for which such body acts, or concerning the prosecution, defense, settlement or litigation of any judicial action, or any administrative or other type of proceeding to which the governmental body is a party or by which it is or may be directly affected” are confidential. If any case records are accumulated related to federal grand jury proceedings, those records are confidential pursuant to Federal Rule of Criminal Procedure 6(e). Although the specific case records of District Attorneys are included in this section, they also depend on usage of the records maintained by the Clerks of Superior Court.



SEE ALSO: Civil Rights Cases involving employees are under HUMAN RESOURCES. General operational agency correspondence is under AGENCY MANAGEMENT. Enforcement actions relating to individuals or firms under contract with an agency are under MONITORING AND COMPLIANCE, as are declaratory rulings that resolve a compliance investigation or hearing. Commutations, pardons, and reprieves along with executive orders issued by the Governor are under GOVERNANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1261.A	Attorney General’s Advice and Opinions	formal opinions written by the Attorney General to state or local government officials or their attorneys regarding legal matters	PERMANENT (archival) ∞	
1261.10		advisory letters and opinions written by Department of Justice attorneys	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
1261.P		advisory letters received from Department of Justice attorneys	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.









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
1262.P	Declaratory Rulings SEE ALSO: Investigation and Hearing Records (MONITORING AND COMPLIANCE)	records concerning declaratory rulings issued by the agency to interpret either statutes or rules as applied to a specified set of facts	PERMANENT (appraisal required) ∞	
1263.1 	Discrimination Complaint Investigations	records concerning compliance of providers and contractors with Federal nondiscrimination requirements; includes noncompliance complaints and documentation of resolution; also includes complaints and investigations pursuant to the Retaliatory Employment Discrimination Act (REDA)	RETAIN UNTIL: Resolution PLUS: 1 year THEN: Destroy	<u>Authority/Confidentiality/Retention</u> 49 CFR 27.121 <u>Authority/Confidentiality</u> G.S. § 95-242
1263.5		summaries of discrimination complaints	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1264.10	General Legal Correspondence SEE ALSO: Correspondence (AGENCY MANAGEMENT)	letters to private residents and organizations that request legal assistance from the Department of Justice	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
1265.A	Legal Case Records	records concerning cases holding statewide significance	PERMANENT (archival) ∞	
1265.10 ₁ 	(continued on following page)	records concerning routine cases; includes correspondence, depositions, court filings, and other related records; also includes proofs of claims filed by the agency in bankruptcy cases	RETAIN UNTIL: Closed PLUS: 10 years (appraisal required) THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(a) G.S. § 132-1.9
1265.2	SEE ALSO: RC No. 1265.10 ₁ ; Public Records Requests (PUBLIC RELATIONS)	records that accompany responsive documents to a subpoena for a case to which the responding entity is not a party	RETAIN UNTIL: Submitted PLUS: 2 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.

1265.50 	Legal Case Records (cont.)	records concerning cases reviewed by the Innocence Inquiry Commission; includes claims, reviews, investigations, hearings, and other related records	RETAIN UNTIL: Closed PLUS: 50 years Ω THEN: Destroy	Confidentiality G.S. § 15A-1468(e) G.S. § 15A-1468(g) G.S. § 132-1.4(a)
1265.10 ₂ 		records concerning Class B1-E felony cases argued by the Office of the District Attorney	RETAIN UNTIL: Disposition PLUS: 10 years THEN: Destroy	Confidentiality G.S. § 132-1.1(a) G.S. § 132-1.9
1265.3 		records concerning Class F-I felony cases argued by the Office of the District Attorney	RETAIN UNTIL: Disposition PLUS: 3 years THEN: Destroy	Confidentiality G.S. § 132-1.1(a) G.S. § 132-1.9
1265.< ₁ 		records concerning misdemeanor cases argued by the Office of the District Attorney	RETAIN UNTIL: Appeal period expires or appeals are exhausted THEN: Destroy	Confidentiality G.S. § 132-1.1(a) G.S. § 132-1.9
1265.< ₂ 		records concerning Class A felony cases argued by the Office of the District Attorney	RETAIN UNTIL: Death of defendant THEN: Destroy	Confidentiality G.S. § 132-1.1(a) G.S. § 132-1.9
1265.6 ₁ 		records concerning cases for which the Office of Indigent Defense Services has provided legal representation; includes correspondence, depositions, court filings, and other related records	RETAIN UNTIL: Closed PLUS: 6 years THEN: Destroy	Confidentiality G.S. § 132-1.1(a) G.S. § 132-1.9
1265.6 ₂		consumer complaints filed with and reviewed by the Department of Justice	RETAIN UNTIL: Closed PLUS: 6 years Ω THEN: Destroy	
1265.< ₃ 		records presented to the Court of Appeals and Supreme Court by the Department of Justice in criminal action cases; includes briefs, correspondence, and other related records	RETAIN UNTIL: Closed and appeals are exhausted THEN: Destroy	Confidentiality G.S. § 132-1.9
1266.P 	Legal Opinions	legal opinions received from outside counsel	PERMANENT	Confidentiality G.S. § 132-1.1(a)

* 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.

12.7 Vital Records



DEFINED: Records documenting vital events that take place in North Carolina, including births, deaths, marriages, and divorces. Vital Records, under the Department of Health and Human Services, maintains these records and provides certified or uncertified copies to individuals, researchers, and public health programs.

SEE ALSO: Adoption and foster care records are under PUBLIC ASSISTANCE AND SUPPORT SERVICES.

12.7

RC No.	Record Types	Description	Disposition Instructions	Citation
1271.A 	Birth Records	copies of birth certificates deposited with the Department of Health and Human Services	PERMANENT and PERMANENT (archival) ∞	<u>Authority</u> G.S. § 130A-101, -114, -115 <u>Confidentiality</u> G.S. § 130A-93
1271.P 		records concerning changes to birth certificates due to adoptions, legitimations, and sex changes, deposited with the Department of Health and Human Services; includes certificates of live birth, court orders of adoptions, legitimation, and sex change, and other related records	PERMANENT	<u>Authority</u> G.S. § 130A-118 <u>Confidentiality</u> G.S. § 130A-93
1272.A 	Death Records	copies of death certificates deposited with the Department of Health and Human Services	PERMANENT and PERMANENT (archival) ∞	<u>Authority</u> G.S. § 130A-101, -114, -115 <u>Confidentiality</u> G.S. § 130A-93

* 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.

<p>1273.A</p> 	<p>Divorce Records</p>	<p>copies of certificates of divorce deposited with the Department of Health and Human Services</p> <p><i>NOTE: Original records are maintained in the counties.</i></p>	<p>PERMANENT and PERMANENT (archival) ∞</p>	<p><u>Authority</u> G.S. § 130A-110, -111</p> <p><u>Confidentiality</u> G.S. § 130A-93</p>
<p>1274.A</p> 	<p>Marriage Records</p>	<p>copies of marriage licenses/certificates and certificates of divorce deposited with the Department of Health and Human Services</p> <p><i>NOTE: Original records are maintained in the counties.</i></p>	<p>PERMANENT and PERMANENT (archival) ∞</p>	<p><u>Authority</u> G.S. § 130A-110, -111</p> <p><u>Confidentiality</u> G.S. § 130A-93</p>

* 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

1221.A Eugenics Compensation Program Records: Transfer to the State Records Center 3 years after final decision. Records will transfer immediately to the custody of the Archives.

Agency	Series Title	Item Number
North Carolina Industrial Commission	Eugenics Asexualization and Sterilization Compensation Program File	50388

1222.50 OAH Case Records: Transfer to the State Records Center after case is closed. Records will be held for agency 50 additional years and then destroyed.

Agency	Series Title	Item Number
Office of Administrative Hearings	Cases File	4105

1224 Tort Claims: Transfer to the State Records Center after case is closed. Records concerning adult claims will be held for agency 7 additional years and then destroyed.

Agency	Series Title	Item Number
North Carolina Industrial Commission	Adult Tort Claims File	497

1241.A Court of Appeals Case 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
North Carolina Court of Appeals	Judgments File	39469

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.



1245.A Supreme Court 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
North Carolina Supreme Court	Death Case Records File	39474
	Minute Books File	3379
	Original Case File	2330

1252.A Charters: 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 the Secretary of State	Amendments to the Constitution of 1971 File	50603
	Constitution of 1971 File	50602
	Historic Charters and Amendments File	48530
	U.S. Constitutional Amendments File	50604

1255.A Land 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 the Secretary of State	Annexation Ordinances and Maps File	3902

1256.A Licensing Board Reports: 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 the Secretary of State	Annual Reports of Licensing Boards File	2923

1257.A Ordinances and Regulations: 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 the Secretary of State	Ordinances and Regulations File	50836

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.



1261.A Attorney General’s Advice and Opinions: 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 Justice	Attorney General’s Formal Opinions File	38553

1262.P Declaratory Rulings: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
North Carolina Utilities Commission	General Order Dockets File	562

1265.A Legal Case 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 Administration	Legal File	3466
Department of Insurance	Litigation and Docket File	2259
Department of Justice	Administrative Division Archival Case File	50279
	Archival Environmental Cases File	49701
	Archival Federal Habeas Corpus Case File	48040
	Capital Litigation Case File	47040
	Civil Division Director’s Litigation and Mediation File	48421
	Public Safety Civil Rights Cases File	3452
	Special Litigation Cases File	14897
	Special Prosecutions Appellate Cases File	3743
Department of Natural and Cultural Resources	Legal Records File	45686
Department of Public Safety	Operations Division Legal and Legislative File	697
North Carolina Board of Physical Therapy Examiners	Litigation File	50873

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.



1265.50 Legal Case Records: Transfer to the State Records Center after case is closed. Records will be held for agency 50 additional years and then destroyed.

Agency	Series Title	Item Number
North Carolina Innocence Inquiry Commission	Case Records File	48428

Appendix

1265.10 Legal Case Records: Transfer to the State Records Center after case is closed. Records will be held for agency 10 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Contested Certificate of Need Case Files	41022
	Continuing Legal Issues File	45958
	Legal Affairs Contested Case Hearings File	45960
	Program Integrity Medicaid Investigation Case Files	50857
Department of Justice	Capital Litigation Master Case/Federal Habeas Corpus File	2378
	Consumer Protection Investigative Cases File	2372
	Education Section Case File	28009
	Environmental Protection Cases File	2363
	Highway Section Contracts and Land Case File	2399
	Insurance Cases File	14294
	Law Enforcement Liaison Administrative Hearings File	14307
	Law Enforcement Liaison Cases File	14305
	Motor Vehicles Cases File	14250
	Occupational Safety and Health Administration Contested Case File	2384
	Public Assistance Case File	30537
	Public Safety Cases File	2362
	State Personnel Cases File	3646
Department of Public Safety	Inmate Grievance Appeals File	661
	Juvenile Justice Litigation File	48059
Department of Transportation	Division of Motor Vehicles Legal File	3158
	Project Property Claims (State and Federal Projects) File	3130

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.



Agency	Series Title	Item Number
Office of Administrative Hearings	Human Relations Commission Fair Housing Act Complaints Case File	11065

1265.6₂ Legal Case Records: Transfer to the State Records Center after case is closed. Records will be held for agency 6 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Justice	Consumer Complaint Cases File	2371

1271.A Birth Records: Transfer original copy (silver-halide) of microfilm along with index to the State Records Center for immediate transfer to custody of the Archives. A duplicate copy of microfilm will be retained in the agency permanently. Transfer microfilmed original certificates to the State Records Center after 100 years for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Health and Human Services	Certificates of Live Birth File	1802
	Delayed Certificate of Birth File	4022
	Index to Certificates of Live Birth File	8334
	Index to Delayed Certificate of Birth File	8340

1272.A Death Records: Transfer original copy (silver-halide) of microfilm along with index to the State Records Center for immediate transfer to custody of the Archives. A duplicate copy of microfilm will be retained in the agency permanently. Transfer microfilmed original certificates to the State Records Center after 25 years for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Health and Human Services	Belated Certificates of Death File	46547
	Certificate of Death File	1804
	Index to Certificates of Death File	8342

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.



1273.A Divorce Records: Transfer original copy (silver-halide) of microfilm along with index to the State Records Center for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Health and Human Services	Divorce Records File	8343
	Index to Divorces File	8348

1274.A Marriage Records: Transfer original copy (silver-halide) of microfilm along with index to the State Records Center for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Health and Human Services	Index to License and Certificates of Marriage File	8346
	Licenses and Certificates of Marriage File	8345

13. Monitoring and Compliance

The function of monitoring entails systematic, periodic reviews to ensure quality products, performance, and the accomplishment of objectives. Compliance ensures that people and organizations meet all obligations and comply with regulations, which may be accomplished through the promulgation and communication of policy guidance to outside entities regarding state and federal regulations.

NOTE: For the enforcement of criminal laws against individuals and organizations, see LAW ENFORCEMENT.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

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 - 1314 Consultant, Contractor, Provider, and Vendor Due Diligence Records
 - 1315 Corrective Measures
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- 13.2 Authorizing and Licensing
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 - 1335 Unsubstantiated Complaints

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>.

Many monitoring records are iterative in nature, such as routine inspections (RC No. 1332). Similarly, most licenses and permits (RC No. 1325) have renewals scheduled at regular intervals. What differentiates these records from those in some other functions of State government is that they tend to be case files, or a collection of documents related to a particular licensee or entity. In some cases, the trigger for destruction begins with the expiration of a license, while in the case of lifetime licenses, the records can be destroyed upon the death of the licensee. Due to these intricacies, careful thought should be given to how the records are organized so that their appropriate disposition can be facilitated. For instance, case files for renewable licenses should probably be grouped by date of expiration and then filed alphabetically.

Many of these records contain personal identifying information about individuals or trade secrets of businesses, so great care should be taken to maintain the confidentiality of these records. Many of these confidentiality provisions are codified separately, so they are listed in the appendix. When these monitoring and compliance records contain information that could impact the greater public, they are designated as archival records; examples include environmental impact statements (RC No. 1323) and permits for radioactive waste and solid waste sites (RC No. 1325).



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.

13.1 Accountability and Oversight

DEFINED: Activities related to efforts to justify actions and decisions and to the supervision of other agencies, entities, or individuals. Includes compliance audits, operational audits, recordkeeping audits, skills audits, and quality assurance audits, which may be internal or external audits and may be conducted by the agency or by a third-party.

13.1

SEE ALSO: Research conducted for the purposes of internal usage or publication is under AGENCY MANAGEMENT. Administrative rules are under GOVERNANCE. Employee complaints regarding discrimination and equal opportunity (EO) violations are under HUMAN RESOURCES. Constituent service requests are under PUBLIC RELATIONS.

RC No.	Record Types	Description	Disposition Instructions	Citation
1311.2 ₁ 	Assistance Records SEE ALSO: Constituent Comments, Complaints, and	records documenting guidance regarding standards, protocols, and scope of practice provided by the agency to contractors and providers, intended to prevent compliance problems; also includes any variances granted	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> see appendix
1311.2 ₂	Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)	requirements or directives promulgated by the agency for the conduct of a business or activity	RETAIN UNTIL: Superseded/Obsolete PLUS: 2 years THEN: Destroy	
1311.10		records submitted by insurance companies providing notification to or requesting approval of the Department of Insurance for specific transactions; includes forms, correspondence, and other related records	RETAIN UNTIL: Resolution PLUS: 10 years THEN: Destroy	
1312.10 	Audit Planning Records	work papers and other evidence and related supportive materials directly pertaining to audits by the Office of the State Auditor	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> G.S. § 143-748 <u>Retention</u> G.S. § 147-64.6(d)

* 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.

Functional Schedule for North Carolina State Agencies (2020)



13.1

RC No.	Record Types	Description	Disposition Instructions	Citation
1313.A	Audit Reports	final reports, including conclusions or recommendations, created by the Office of the State Auditor in the conduct of financial, performance, investigative, or information system audits	PERMANENT (archival) ∞	
1313.P		final reports, including conclusions or recommendations, related to internal compliance or operational audits, hazardous material, or those that document a significant change in agency practices or have significant administrative value	PERMANENT (appraisal required) ∞	
1313.10		final reports, including conclusions or recommendations related to internal accounting systems and controls, administrative systems and controls, information technology systems and controls, skills, or those with limited administrative value	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Authority</u> G.S. § 143-746 <u>Retention</u> G.S. § 143-748
1313.S 		work papers and other evidence and related supportive material directly pertaining to the work of the internal auditor's office	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 143-748
1313.6 		tax audits conducted by the Department of Revenue on the International Fuel Tax Association, Inc. (IFTA) and the International Registration Plan, Inc. (IRP)	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-259(b)
1313.4 		remaining tax audits conducted by the Department of Revenue	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 105-259(b)

* 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.



Functional Schedule for North Carolina State Agencies (2020)



13.1

RC No.	Record Types	Description	Disposition Instructions	Citation
1314.2	Consultant, Contractor, Provider, and Vendor Due Diligence Records SEE ALSO: Contracts (LEGAL); Discrimination Complaint	records documenting the evaluation of consultants, contractors, providers, and vendors with whom the agency conducts business; includes financial stability, information security risk assessments, and other related records	RETAIN UNTIL: Contract expires PLUS: 2 years THEN: Destroy	
1314.1	Investigations (LEGAL); Grants Management (FINANCIAL MANAGEMENT)	records documenting the vetting of contractors and vendors with whom the agency considers conducting business but does not award a contract	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
1315.2	Corrective Measures	records documenting agency actions to address concerns raised by an audit or complaint	RETAIN UNTIL: Effective PLUS: 2 years THEN: Destroy	
1316.3	Improper Conduct Investigations SEE ALSO: Investigation and Hearing Records; Grievances (HUMAN RESOURCES)	records concerning investigations triggered by questions about ethics or conduct within an agency, such as whistleblower reports or allegations of fraud; includes complaints, reports, investigations, and other related records	RETAIN UNTIL: Resolution PLUS: 3 years THEN: Destroy*	
	SEE ALSO: Ombudsmen (GOVERNANCE)	ombudsman records regarding complaints against the agency, contractors, or providers; includes investigation reports, responses, and other related records		
1317.S	Rates and Standards	records concerning tests conducted to establish official samples, weights and measures, and other standards; also includes rate setting documentation	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1317.P	(continued on following page)	reports of calibration by the Department of Agriculture and Consumer Services indicating the value of the State's standard in relation to the corresponding national standard	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.
 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
1317.20	Rates and Standards (cont.)	records concerning quasi-judicial hearings and rulings by the Commissioner of Insurance regarding rate filings; includes official court records, dockets, pleadings, testimony, transcripts, and other related records	RETAIN UNTIL: Resolution PLUS: 20 years Ω THEN: Destroy*	
1318.T 	State Auditor Hotline	investigations by the Office of the State Auditor that substantiate allegations received regarding improper governmental conduct, violation of State or federal law, or dangers posed to public health and safety	RETAIN UNTIL: Determination THEN: Transfer to Audit Reports <i>NOTE: Pursuant to G.S. § 147-64.6B(b), when the Auditor believes that an allegation of improper governmental activity is outside the authority set forth in G.S. § 147-64.6, the Auditor shall refer the allegation to the appropriate State agency responsible for the enforcement or administration of the matter for investigation.</i>	<u>Confidentiality</u> G.S. § 147-64.6B(a)
1318.4 		allegations of improper governmental activities that the Office of the State Auditor finds unsubstantiated	RETAIN UNTIL: Receipt PLUS: 4 years THEN: Destroy	<u>Confidentiality</u> G.S. § 147-64.6B(a) <u>Retention</u> G.S. § 147-64.6B(c)

* 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.

13.2 Authorizing and Licensing






DEFINED: Activities granting formal permission to carry on some business, operation, project, or activity. Includes accreditation, licenses, permits, registrations, and other authorizations.

 *NOTE: In some cases, licensing records include Social Security numbers or other personal identifying information; in such cases, comply with G.S. § 132-1.10 and 5 USC 552a regarding the confidentiality of this information.*

*SEE ALSO: The coursework that is required to obtain or renew a professional or recreational license is included under EDUCATION. The accounting records for fees and payments to Recovery Funds are under FINANCIAL MANAGEMENT. Any accreditation records on this schedule are related to accreditation granted by the agency **to other entities**; accreditation records required for State agencies to carry out their work are included on the AGENCY MANAGEMENT schedule. Annual reports written by agencies are under AGENCY MANAGEMENT, while annual reports submitted to agencies by entities seeking to gain or maintain licensing are under Licenses and Permits. Permits to use State property are under ASSET MANAGEMENT. Disciplinary actions for agency personnel are under HUMAN RESOURCES.*

RC No.	Record Types	Description	Disposition Instructions	Citation
1321.5	Bonds and Collateral Securities	guaranty bonds, surety bonds, and any other collateral securities required for licensing or performance of service	RETAIN UNTIL: Expiration or cancellation PLUS: 5 years THEN: Destroy	
1322.2	Denied Licenses and Permits	records concerning individuals or entities whose initial application is denied; includes reports, decisions, correspondence, and other related records	RETAIN UNTIL: Expiration of application period PLUS: 2 years THEN: Destroy	<u>Confidentiality</u> see appendix
1323.P	Environmental Impact Statements (EIS)	records documenting the effects of proposed activities by a contractor or provider on the environment	PERMANENT (appraisal required) ∞	
1324.1	Incomplete or Withdrawn Applications (continued on following page)	applications that are not completed within the window of time provided by the agency or that are withdrawn from consideration	RETAIN UNTIL: Expiration of application period or withdrawal 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
1324.<	Incomplete or Withdrawn Applications (cont.)	applications begun in an online portal but never submitted	RETAIN UNTIL: Last activity PLUS: 90 days THEN: Destroy	
1325.3 ₁ 	Licenses and Permits	records concerning accreditations, licenses, registrations, and permits that must be renewed; includes applications, correspondence, examination score reports and continuing education credentials, reports, authorizations, audits, waivers, and other related records	RETAIN UNTIL: Expiration or renewal PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> see appendix
1325.R 		examinations and background checks related to renewable accreditations, licenses, registrations, and permits	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
1325.3 ₂ 		records concerning one-time authorizations	RETAIN UNTIL: Expiration PLUS: 3 years THEN: Destroy	
1325.1 		records concerning lifetime or perpetual authorizations	RETAIN UNTIL: Resignation from license, death of holder, or dissolution of entity PLUS: 1 year THEN: Destroy	
1325.6		records concerning authorizations of capital improvement projects	RETAIN UNTIL: Completion of project PLUS: 6 years THEN: Destroy*	
1325.10 		(continued on following page)	source documentation collected by the Division of Motor Vehicles in order to issue Real ID cards	

* 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
1325.75 	Licenses and Permits (cont.)	records concerning lifetime professional licenses; also includes Certificate of Need documentation for healthcare facilities	RETAIN UNTIL: Received PLUS: 75 years Ω THEN: Destroy	
1325.A 		records concerning authorizations that impact the general public, including those for radioactive waste and solid waste sites as well as those for corporations	PERMANENT (archival) ∞	
1325.P		records concerning oil or gas well drilling, completion, production, and plugging transferred by the permittee to the State Geologist	PERMANENT	<u>Retention</u> 15A NCAC 05H .0202
1325.50		records compiled by the Department of Health and Human Services concerning the use and removal of asbestos; includes National Emissions Standards for Hazardous Air Pollutants (NESHAP) permits as well as notifications, inspection reports, enforcement actions, and other related records	RETAIN UNTIL: Received PLUS: 50 years Ω THEN: Destroy	
1325.22		records compiled by the Department of Health and Human Services concerning certification for lead abatement and lead renovation work; includes permits, notifications, inspection reports, enforcement actions, and other related records	RETAIN UNTIL: Received PLUS: 22 years Ω THEN: Destroy	
1326.S	Registries	listings of entities and individuals authorized to engage in a particular occupation or activity; includes applications, evaluations, and other related records necessary to generate the registry	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
1327.5 ₁	Registrations	records concerning products, brands, etc., registered with the Department of Agriculture and Consumer Services	RETAIN UNTIL: Expiration/ Cancellation PLUS: 5 years THEN: Destroy	
1327.5 ₂ 		records concerning manufacturers and other entities required to register with the Department of Health and Human Services	RETAIN UNTIL: Expiration/ Cancellation PLUS: 5 years THEN: Destroy	<u>Authority/</u> <u>Confidentiality</u> G.S. § 130A-309.138
1327.5 ₃ 		records concerning taxpayer registration with the Department of Revenue; includes applications, correspondence, and other related records	RETAIN UNTIL: Expiration/ Cancellation PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 105-259(b)
1327.A		records concerning registrations with the Department of the Secretary of State; includes trademarks, labels, and designs as well as an index of lobbyists, lobbyist principals, solicitors, and state and local government liaisons	PERMANENT (archival) ∞	
1328.50 	Revoked Licenses and Permits	records concerning individuals or entities whose license, permit, or other authorization is revoked for cause; includes reports, decisions, correspondence, and other related records	RETAIN UNTIL: Revocation PLUS: 50 years THEN: Destroy	<u>Confidentiality</u> see appendix
1328.1 		records concerning licenses or permits revoked due to clerical error; also includes records of revocations that are lifted due to an exoneration of the cause for revocation	RETAIN UNTIL: Revocation PLUS: 1 year THEN: Destroy	
1329.S	Training Certifications	agency certifications of training opportunities to be provided by outside entities	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.





13.3 Enforcement

DEFINED: Activities related to assuring adherence to rules and regulations.



SEE ALSO: Investigations by law enforcement officers are under LAW ENFORCEMENT. RISK MANAGEMENT includes health and safety inspections conducted by the Department of Insurance. Accounting records for penalties and assessments as well as monitoring records for grant recipients are under FINANCIAL MANAGEMENT. Administrative rules are under GOVERNANCE. Hearings conducted by the Office of Administrative Hearings, the NC Industrial Commission, and agencies governed by G.S. § 150B Article 3A are under LEGAL. Surveys from the general public are under PUBLIC RELATIONS, and surveys from employees are under HUMAN RESOURCES. Evaluations of Historically Underutilized Businesses are under ECONOMIC DEVELOPMENT. Records documenting the incidence of certain diseases are under HEALTHCARE. Cultural and Natural Resource Protection Records are under ASSET MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1331.6 	Controlled Substances Reporting System	records accumulated by the Department of Health and Human Services concerning prescriptions for all Schedule II through V controlled substances	RETAIN UNTIL: Received PLUS: 6 years THEN: Destroy	<u>Authority</u> G.S. § 90-113.73 <u>Confidentiality</u> G.S. § 90-113.74(a) <u>Retention</u> G.S. § 90-113.74(f)
1332.A	Evaluations and Inspections	records of monitoring and inspections that have value for documenting patterns	PERMANENT (archival) ∞	
1332.3 	SEE ALSO: Inspections (RISK MANAGEMENT)	records documenting routine, random, and requested evaluations and inspections; includes interviews, evidence, reports, examinations, notices of violations, audits, recommendations, correspondence, and other related records; also includes samples testing	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> see appendix

* 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
1333.3 	Investigation and Hearing Records SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case	records concerning complaints, fraud allegations, contestments, grievances, and inquiries against individuals and other entities; includes summaries, charges, reports, assessments and findings, hearing transcripts and evidence, decisions and sanctions, referrals, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> see appendix
1333.50 	Records, Other Administrative Hearings (LEGAL)	records concerning complaints against the conduct, character, or fitness of elected or appointed officials that are investigated by an external entity; includes statements, correspondence, recommendations, and other related records; also includes cases that result in discipline by the North Carolina State Bar Disciplinary Hearing Commission or by the courts or disbarment by the Council of the North Carolina State Bar	RETAIN UNTIL: Complete PLUS: 50 years Ω THEN: Destroy	<u>Confidentiality</u> see appendix
1333.10 ₁ 		final fraud investigative reports and reports of other examinations, investigations, surveys, and reviews issued under the authority of the Director of the Retirement Systems Division at the Department of State Treasurer	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> G.S. § 128-28(s), (t) G.S. § 135-6(r), (s)
1333.S 	(continued on following page)	work papers for fraud investigations by the Department of State Treasurer	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Retention</u> G.S. 128-28(s) G.S. 135-6(r)

* 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
1333.10 ₂ 	Investigation and Hearing Records (cont.)	preadmission screening resident review (PASRR) records generated by the Department of Health and Human Services; includes evaluation forms, testing materials, correspondence, and other related records; also includes hearings, provider appeals, and second level reviews	RETAIN UNTIL: Complete PLUS: 10 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 8-53 G.S. § 130A-12 45 CFR 164.502
1333.75 		records concerning rate cases heard by the North Carolina Utilities Commission; includes applications, orders, transcripts, exhibits, complaints, and other related records	RETAIN UNTIL: Complete PLUS: 75 years Ω THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.2
1334.3	Monitoring Surveys and Reports SEE ALSO: Contractor, Provider, and Vendor Due Diligence Records (above); Grants Management (FINANCIAL MANAGEMENT); External Surveys (PUBLIC RELATIONS); Employee Suggestions and Surveys (HUMAN RESOURCES); Health Monitoring Programs (HEALTHCARE)	records concerning the monitoring of individuals, entities, and processes	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
		records concerning the monitoring of environmental conditions; includes monitoring of air, land, water, and other natural resources	RETAIN UNTIL: Complete PLUS: 3 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.



RC No.	Record Types	Description	Disposition Instructions	Citation
1335.1	Unsubstantiated Complaints SEE ALSO: Investigation and Hearing Records (above); Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS)	includes complaints received about licensees and permittees that do not necessitate an investigation	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	

13.3

* 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.

Records That Will Transfer to the State Records Center

1313.A Audit Reports: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Office of the State Auditor	Financial Audit Reports	260
	Performance Audit Reports	9548

1313.P Audit Reports: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
North Carolina Board of Nursing	Audit Reports File	21055

1317.20 Rates and Standards: Transfer to the State Records Center 10 years after case closes. Records will be held for agency 10 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Insurance	Automobile Insurance Filing File	49383
	Homeowner Insurance Filing File	49384

1323.P Environmental Impact Statements: 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 Administration	State Environmental Review Clearinghouse Environmental Impact Statements	117
Department of Natural and Cultural Resources	County Environmental Review File	1050
	Environmental Review File	814

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

1325.75 Licenses and Permits: Transfer records to the State Records Center after 6 months. Records will be held for agency 75 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Certificate of Need Approved Projects File	41117
North Carolina Board of Dietetics/Nutrition	License File	50375
North Carolina Board of Nursing	Licensed Practical Nurses Individual Applications File	3334
	Registered Nurses Individual Applications for Licensure File	3333
North Carolina State Bar	Bar Member License File	20946

Appendix

1325.A Licenses and Permits: 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 Commerce	Credit Union Charters and Amendments File	365
	Credit Union Organization File ¹	4064
Department of Environmental Quality	Animal Waste Permit File	46012
	Coastal Development Major Permits File	3191
	Known and Potential Contaminated Sites	47905
	Scrap Tires Sites Cleanup Program File	36379
	Septage Land Application Site and Detention and Treatment Facility Permits File	36352
	Solid Waste Facilities File	8102
	Solid Waste Facilities Post-Closure File	36343
	Solid Waste Non-Permitted File	8101
Department of Health and Human Services	State Cleanup Funds Reimbursement File	34051
	Active Radioactive Materials Licenses	7581
	Decommissioned Radioactive Waste Sites	50366
	Terminated Radioactive Materials Licenses	1750
	Terminated Reciprocal Recognition File	35908

¹ Transfer paper records of active organizations to the State Records Center after 1 year to be scanned. The digital images will be converted to 16mm microfilm for permanent storage in the security vault. A copy of the digital images and microfilm will be purchased by the agency. The paper records and digital images will be returned to the agency after scanning.

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

Agency	Series Title	Item Number
Department of the Secretary of State	Business Entities Registry	15629 
	Withdrawn/Dissolved/Revoked Business Entities	2909 
Office of the Commissioner of Banks	Bank Charters and Amendments File	336

Appendix


1325.50 Licenses and Permits: Transfer records to the State Records Center after 3 years. Records will be held for agency 47 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Asbestos Accreditations File	8314
	Asbestos/National Emissions Standards for Hazardous Air Pollutants (NESHAP) Inspections and Enforcements File	17384
	Asbestos Waste Shipment Records (WSR)	50865
	Health Hazards Control Permits File	4060

1325.22 Licenses and Permits: Transfer records to the State Records Center after 3 years. Records will be held for agency 19 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Lead Abatement Firm Records	50866
	Lead Abatement Individual Records	50867
	Lead Enforcement Actions	50868
	Lead Permits	50869
	Lead Renovation Firm Records	50870
	Lead Renovation Individual Records	50871

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

1327.A Registrations: 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 the Secretary of State	Inactive Mark Certifications	2889
	Lobbying Compliance Registration Index File	41954

Appendix

1332.A Long-Term Inspections: 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 Environmental Quality	Air Quality Enforcement Actions File	17370	
	Air Quality Self-Monitoring File	17382	
	Annual, Quarterly, and Monthly Groundwater Monitoring Reports File	49583	
	Annual, Quarterly, and Monthly Non-Discharge Reports File	35674	
	Groundwater Pollution Incidents File	25681	
	Groundwater Research Station File	49408	
	Injection Well Permits File	17398	
	Oil and Hazardous Waste Materials Spills Investigation File	17594	
	Ozone Precursor Hydrocarbon Data File	40555	
	Prevention of Significant Deterioration and Self-Monitoring Ambient Monitoring File	17360	
	Regional Offices Air Quality File		17117
			24948
			24975
			25321
		25441	
	25479		
	Water Quality Enforcement Actions File	33931	
	Well Abandonment File	47425	
	Well Records File	2644	

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

Agency	Series Title	Item Number
Department of Labor	Boiler Safety Bureau Accidents File	27213
	Growers File	31458
	Imperial Foods Hamlet Fire Records	35332
	Occupational Safety and Health Inspections Cases File	46018

1333.50 Investigation and Hearing Records: Transfer to the State Records Center after 5 years. Records will be held for agency 45 additional years and then destroyed.

Agency	Series Title	Item Number
North Carolina State Ethics Commission	Ethics Commission Rulings File	21538
Judicial Standards Commission	Dismissed After Formal Investigation File	50546
	Dismissed Without Formal Investigation File	50545
North Carolina State Bar	Staff Attorney Working Disciplinary File	48087
	State Bar Disciplinary Hearing Commission File	20948

1333.10 Investigation and Hearing Records: Transfer to the State Records Center after 2 years. Records will be held for agency 8 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Health and Human Services	Division of Medical Assistance Hearing Appeals File	48347
	Preadmission Screening Annual Review Mental Health File	43506

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

1333.75 Investigation and Hearing Records: Transfer to the State Records Center 2 years after closing. Records will be held for agency 73 additional years and then destroyed.

Appendix

Agency	Series Title	Item Number
North Carolina Utilities Commission	Confidential Dockets File	12696
	Inactive Dockets (Other) File	12669
	Inactive Dockets (Rate Cases) File	560

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

Confidentiality Provisions for Specific Agencies

1311: Assistance Records

Appendix

NC State Bar	27 NCAC 01D.0103(b)
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13.2 Authorizing and Licensing

- **1322: Denied License and Permits**
- **1324: Incomplete or Withdrawn Applications**
- **1325: Licenses and Permits**
- **1328: Revoked Licenses and Permits**

Department of Agriculture and Consumer Services	G.S. § 106-579.11
Department of Environmental Quality	G.S. § 113-170.3 G.S. § 143B-289.52(h)
Department of Health and Human Services	G.S. § 130A-304
Department of Public Safety	G.S. § 74C-8(g), G.S. § 74C-8.1
Department of the Secretary of State	G.S. § 10B-7(b) and -106(d)
Department of Transportation	G.S. § 20-7(b2), G.S. § 20-7(e), G.S. § 20-17.1(e), 5 USC § 552a
NC Cemetery Commission	G.S. § 65-54.1
NC Office of the Commissioner of Banks	G.S. § 53-244-050(i), G.S. § 53-334(b), G.S. § 53-348(c), G.S. § 53C-2-7(b), G.S. § 53C-10-103(c), G.S. § 53C-10-202(d)
NC State Bar	G.S. § 84-24 27 NCAC 01D .1720
Occupational Licensing Boards	G.S. § 93B-8 G.S. § 93B-14

Please note: The listing of a confidentiality citation does not indicate that all information within the particular record type is confidential. Please read the relevant statutes and consult your General Counsel for any necessary clarification.



1332: Evaluations and Inspections

Department of Environmental Quality	G.S. § 143-215.3C G.S. § 143-215.80
Department of Health and Human Services	G.S. § 130A-12 G.S. § 130A-15(b)
NC Office of the Commissioner of Banks	G.S. § 53-208.59 G.S. § 53C-2-7(b), G.S. § 53C-4-12(b)

Appendix

1333: Investigation Records (NOTE: Records from hearings are open to inspection unless they are held under seal.)

Department of Environmental Quality	G.S. § 143-215.9D G.S. § 143-215.80
Department of Health and Human Services	G.S. § 8-53 G.S. § 122C-52 G.S. § 130A-12 G.S. § 130A-15(b) G.S. § 130A-33.60 45 CFR 164.502
Department of the Secretary of State	G.S. § 55-1-33 G.S. § 55A-1-33 G.S. § 57D-1-33 G.S. § 78A-45(b1) and -50(c) G.S. § 78C-26(b1), -31(c) G.S. § 78D-21
Judicial Standards Commission	G.S. § 7A-377
NC Cemetery Commission	G.S. § 65-54.1
NC Office of the Commissioner of Banks	G.S. § 53-244-120, G.S. § 53-361(b), G.S. § 53-364(b) G.S. § 53C-2-1(c), G.S. § 53C-2-7(b), G.S. § 53C-8-8, G.S. § 53C-9-3-1(b)

Please note: The listing of a confidentiality citation does not indicate that all information within the particular record type is confidential. Please read the relevant statutes and consult your General Counsel for any necessary clarification.



NC State Bar	G.S. § 84-32.1, G.S. § 132-1.1, G.S. § 132-1.4(a), G.S. § 132-1.9, G.S. § 143-318.10(e), G.S. § 143-318.11(a)(3), G.S. § 143-318.18(6) 27 NCAC 01B .0133
State Board of Refrigeration Examiners	G.S. § 87-59(e)
State Licensing Board for General Contractors	G.S. § 87-15.3

Appendix

Authority Provisions for Specific Agencies

1326: Registries

Department of Health and Human Services	42 CFR 483.156
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Please note: The listing of a confidentiality citation does not indicate that all information within the particular record type is confidential. Please read the relevant statutes and consult your General Counsel for any necessary clarification.



14. Public Assistance and Support Services

The function of Public Assistance and Support Services involves coordinating needs-related payments and providing a safety net for under-resourced populations, as overseen by the Department of Military and Veterans Affairs and the Department of Public Safety. These functions also encompass workforce development and vocational rehabilitation, which are overseen by the Department of Administration, the Department of Commerce, the Community Colleges System Office, the Department of Health and Human Services, and the Department of Public Instruction. Agencies document programs offered, eligibility, and services rendered.

NOTE: Separate records retention and disposition schedules govern the records of the North Carolina Community College System campuses and the UNC System institutions.

Many of the benefits provided by Public Assistance and Support Services programs are funded through grants; any records that document grant funding should be handled according to Grants Management under FINANCIAL MANAGEMENT. Hearings about denied claims that are resolved within another agency are under LEGAL. Appeals hearings resolved within the agency along with fraud investigations are under MONITORING AND COMPLIANCE.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 14.1 Claims and Support Services
 - 1411 Applications
 - 1412 Case Records
 - 1413 Eye Disability Reports
- 14.2 Social Services
 - 1421 Adoption Case Records
 - 1422 Child Support Services Records
 - 1423 Interstate Foster Care Case Records
- 14.3 Unemployment Assistance and Workforce Development
 - 1431 Apprenticeship and On-the-Job Training Master Craftsman Program Records
 - 1432 Business Enterprise Program Records
 - 1433 Employer Workforce Records
 - 1434 Participant Case Records
 - 1435 Performance Measures
 - 1436 Unemployment Insurance (UI) Records
 - 1437 Workforce Strategic Plans

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>.



Many Public Assistance and Support Services records, such as Business Enterprise Program Records (RC No. 1432.3) have retention periods that are triggered by the conclusion of assistance or services, so it is useful to organize records accordingly. There are some archival records on this schedule, such as Apprenticeship and On-the-Job Training Master Craftsman Program Records (RC No. 1431.A). Adoption records are both confidential and require permanent retention.




Many public assistance and support services records contain confidential information; therefore, the security of both paper and electronic records should be maintained at all times. For example, 34 CFR 361.38 specifies the confidentiality of personal information in the possession of the Division of Services for the Blind, and G.S. § 96-4(x) confers confidentiality on records held by the Division of Employment Security.

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.

14.1 Claims and Support Services

DEFINED: Activities related to the management of needs-related services for disaster relief, social services, and veterans as well as support services and rehabilitation for qualified individuals.



SEE ALSO: See Section 14.2 for specific records about adoptions, child support services, and foster care. See Section 14.3 for records about vocational rehabilitation. Records that document grant funding should be handled according to Grants Management under FINANCIAL MANAGEMENT. Hearings about denied claims that are resolved within another agency are under LEGAL; appeals hearings held within the agency are under MONITORING AND COMPLIANCE, as are fraud investigations.

RC No.	Record Types	Description	Disposition Instructions	Citation
1411.1 	Applications	claims forms submitted to request assistance and determine eligibility; includes evaluations and other related records for claims that are denied <i>NOTE: Approved claims should be included with the Case Records.</i>	RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.10 34 CFR 361.49
1412.3 	Case Records	records concerning recipients of assistance and support services; includes applications, referrals, assessments, forms, contacts, service and rehabilitation plans, authorizations, evaluations, and other related records	RETAIN UNTIL: Closed PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10 34 CFR 361.49
1412.20 	(continued on following page)	records maintained by the Department of Public Instruction concerning recipients of early learning sensory support	RETAIN UNTIL: Closed PLUS: 20 years Ω THEN: Destroy*	<u>Confidentiality</u> 20 USC 1439 42 USC 1320d

* 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
1412.< 	Case Records (cont.)	records concerning guardian ad litem cases overseen by the Administrative Office of the Courts; includes court pleadings, summaries or reports, medical, psychological, or substance abuse evaluations or reports, staff and volunteer case notes, and other related records	RETAIN UNTIL: Juvenile reaches age 21 THEN: Destroy*	<u>Confidentiality</u> G.S. § 7B-601(c)
1413.3 	Eye Disability Reports	certifications of income tax exemptions for North Carolina residents with eye disabilities, provided by the Department of Health and Human Services	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.49



* 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.

14.2 Social Services


DEFINED: Activities conducted by the Department of Health and Human Services (DHHS) to provide services to people with particular needs.

NOTE: Most individual cases for entitlement programs are handled by Departments of Social Services or Departments of Human Services at the county level. Their records are governed by a separate records retention and disposition schedule.

SEE ALSO: Records that document grant funding, such as Temporary Assistance for Needy Families (TANF), should be handled according to Grants Management under FINANCIAL MANAGEMENT. The financial records documenting child support services are also under FINANCIAL MANAGEMENT. For monitoring of programs, see MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1421.A 	Adoption Case Records	records concerning adoption cases overseen by the Department of Health and Human Services, including adult adoptions, dismissed adoptions, interstate adoptions, and the resource exchange program; includes petitions for adoption, affidavits, consent forms, final orders of adoption, narratives, and other related records; also includes any addenda received after final decrees	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 48-9-102 G.S. § 48-10-105
1422.3 	Child Support Services Records SEE ALSO: Accounting (FINANCIAL MANAGEMENT)	records concerning efforts by the Department of Health and Human Services to collect child support payments; includes locate requests, tax intercept authorizations, financial institution data matches, and other related records	RETAIN UNTIL: Closed PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(b) G.S. § 132-1.2(2) G.S. § 132-1.10 G.S. § 153A-148.1 G.S. § 160A-208.1

* 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
1423.A 	Interstate Foster Care Case Records	records concerning foster care placements governed by the Interstate Compact on the Placement of Children (ICPC) and maintained by the Department of Health and Human Services; includes forms, correspondence, and other related records	PERMANENT (archival) ∞	<u>Confidentiality</u> G.S. § 48-9-102 G.S. § 48-10-105

14.2


* 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.

14.3 Unemployment Assistance and Workforce Development

DEFINED: Activities helping people find jobs and assisting employers to find and retain a qualified workforce as well as activities carried out by the Department of Commerce to implement the State’s system of unemployment insurance.

NOTE: The records of colleges within the North Carolina Community College System are governed by a separate retention and disposition schedule.





SEE ALSO: If grant funding provides the mechanism for supporting workforce development, those records are under FINANCIAL MANAGEMENT. The records generated by the State Board of Education in administering vocational and technical education are under GOVERNANCE. For certifications of training programs and for fraud investigations, see MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1431.A	Apprenticeship and On-the-Job Training Master Craftsman Program Records	standards, registration forms, listings of work processes, and other related records for apprenticeship programs overseen by the North Carolina Community College System Office	PERMANENT (archival) ∞	
1431.7		apprenticeship agreements enacted by the North Carolina Community College System Office along with compliance reviews and complaint investigations; also includes records concerning U.S. Department of Veterans Affairs (VA) programs	RETAIN UNTIL: Complete or canceled PLUS: 7 years Ω THEN: Destroy	<u>Retention</u> 29 CFR 30.18(b)
1432.3 	Business Enterprise Program Records	records accumulated by the Department of Health and Human Services concerning legally blind operators of food service and vending facilities; includes training, counseling, and management services records; also includes contracts, memoranda, inspection reports, authorizations, and other related records	RETAIN UNTIL: Inactive PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.38

* 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
1433.A	Employer Workforce Records	notifications received by the Department of Commerce from companies or businesses concerning plant closings and layoffs	PERMANENT (archival) ∞	<u>Authority</u> 20 CFR Part 639
1433.5 ₁ 		records compiled by the Department of Commerce concerning employers located within the jurisdiction of local or branch offices; includes contact information, agreements, job orders, reports, evaluations, correspondence, and other related records	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 96-4(x) <u>Retention</u> G.S. § 132-3(c)
1433.5 ₂ 		records concerning accounts maintained by the Department of Commerce for each employer reimbursing the Unemployment Insurance Fund; includes annual statements of all credits and charges	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> G.S. § 96-9.6(d) <u>Confidentiality</u> G.S. § 96-4(x) <u>Retention</u> G.S. § 132-3(c)
1433.5 ₃		records submitted to the Department of Commerce documenting workforce needs that cannot be met within the citizen population and require foreign laborers	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1433.4 	SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)	records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce, that are deemed eligible	RETAIN UNTIL: Determination PLUS: 4 years Ω THEN: Destroy	<u>Confidentiality</u> IRS Publication 1075 <u>Retention</u> DOL ETA handbook
1433.1 		records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce, that are deemed ineligible	RETAIN UNTIL: Determination PLUS: 1 year THEN: Destroy*	<u>Confidentiality</u> IRS Publication 1075 <u>Retention</u> DOL ETA handbook

* 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
1434.3 	Participant Case Records	records concerning participants in vocational rehabilitation and workforce development programs	RETAIN UNTIL: Inactive PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> 34 CFR 361.38 <u>Retention</u> 20 CFR 683.150(h)(5)
1435.5 	Performance Measures	common follow-up information management system (CFS) designed by the Department of Commerce for tracking performance measures related to current and former participants in state job training, education, and placement programs	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	<u>Authority</u> G.S. § 96-32(a) <u>Confidentiality</u> G.S. § 96-32(a) G.S. § 96-33(b)
1436.5 ₁ 	Unemployment Insurance (UI) Records	records compiled by the Department of Commerce concerning claims for UI benefits; includes claim forms, wage transcripts, work histories, eligibility reviews, and other related records for valid claims	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Confidentiality</u> G.S. § 96-4(x) 20 CFR Part 603 <u>Retention</u> G.S. § 132-3(c)
1436.5 ₂ 		UI claim forms that are rejected by the Department of Commerce	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1436.5 ₃ 		interstate and intrastate unemployment insurance claims for federal employees filed with the Department of Commerce; also includes claims by former military personnel	RETAIN UNTIL: Inactive PLUS: 5 years THEN: Destroy	<u>Retention</u> IRS Publication 1075
1436.3 		reports filed with the U.S. Department of Labor concerning Department of Commerce administrative decisions involving UI claims	RETAIN UNTIL: Complete PLUS: 3 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.



RC No.	Record Types	Description	Disposition Instructions	Citation
1437.T	Workforce Strategic Plans	single unified strategic plan developed by the Department of Commerce for core programs for preparing an educated and skilled workforce and meeting the workforce needs of employers	Transfer final report to the State Documents Clearinghouse, State Library of North Carolina	
1437.5		working papers and other materials collected by the Department of Commerce in producing the state unified plan	RETAIN UNTIL: Completion of report 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.

Records That Will Transfer to the State Records Center

1412.20 Case Records: Transfer to the State Records Center 5 years after designated inactive. Records will be held for agency 15 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Public Instruction	Early Learning Sensory Support Records File	45366

1421.A Adoption Case Records: Transfer to the State Records Center 1 year after case is closed for microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to custody of the Archives. Paper records will be destroyed in the State Records Center after microfilming. A duplicate copy of the microfilm will be purchased and retained permanently by the agency.

Agency	Series Title	Item Number
Department of Health and Human Services	Adoptions Addenda File	50327
	Adult Adoptions Case File	2087
	Dismissed Adoption Case File	2089
	Indexed Adoption Case File	2090
	Interstate Adoption Case File	2088 [^]

[^] No duplicate reel of microfilm is required for these records.

1423.A Interstate Foster Care Case Records: Transfer to the State Records Center 1 year after case is closed for microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be transferred to custody of the Archives. Paper records will be destroyed in the State Records Center after microfilming.

Agency	Series Title	Item Number
Department of Health and Human Services	Interstate Foster Care File	2086

1431.A Apprenticeship and On-the-Job Training Master Craftsman Program 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
North Carolina Community College System Office	Cancelled Programs File	2450

1431.7 Apprenticeship and On-the-Job Training Master Craftsman Program Records: Transfer to the State Records Center after 2 years. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
North Carolina Community College System Office	Cancelled Apprenticeship Agreements File	21224
	Completed Apprenticeship Agreements File	21225
	Veterans Affairs Program File	49072
	Veterans Affairs Reporting File	49073

1433.A Employer Workforce 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 Commerce	Worker Adjustment Retraining Notification (WARN) Act File	27114

1433.4 Employer Workforce Records: Transfer to the State Records Center after 2 years. Records will be held for agency 2 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Commerce	Work Opportunity Tax Credit/Welfare to Work (WOTC/WtW) File	431

15. Public Relations

Public Relations is an outward-facing function of state agencies. Agencies document activities, promote initiatives, publicize accomplishments, provide instruction, and gather feedback from constituents.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 15.1 Agency Publications
 - 1511 Brochures/Pamphlets
 - 1512 Media File
 - 1513 Official Publications
 - 1514 Publications Management
 - 1515 Social Media and Websites
- 15.2 Community Relations
 - 1521 Awards
 - 1522 Constituent Comments, Complaints, and Petitions
 - 1523 Constituent Requests
 - 1524 Customer Call Center Recordings
 - 1525 External Surveys
 - 1526 Public Hearings
 - 1527 Public Records Requests
- 15.3 Development
 - 1531 Acknowledgments
 - 1532 Donor Lists
 - 1533 Fund Drive Materials
- 15.4 Marketing and Publicity
 - 1541 Advertisements
 - 1542 Audio-Visual Materials
 - 1543 Forms, Style Sheets, and Templates
 - 1544 Press Releases
 - 1545 Speeches
- 15.5 Programming and Training
 - 1551 Agendas, Exhibits, and Programs
 - 1552 Announcements

- 1553 Educational Materials
- 1554 Invitations
- 1555 Registration Materials
- 1556 Training Materials

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>.

Public Relations records are best organized by record type and then chronologically within each record type. Of the record types identified for the public relations function, a number of them are iterative in nature and hold no value beyond the next successive version. These record types, such as brochures (RC No. 1511), should be destroyed in office when they are superseded or obsolete. Other record types are collected to facilitate the public relations function and have a relatively short-term administrative value. These record types, such as External Surveys (RC No. 1525), should be destroyed in office when their reference value ends. For several record types, the agency must determine which particular records have historical significance and retain these records in office permanently or transfer them to the State Archives of North Carolina, as designated in the disposition instructions; those records without historical significance will be destroyed in office. Several record types have a specified retention period, which is why it is recommended to organize these records chronologically; for instance, in January 2018, any Public Records Requests (RC No. 1527.2) that were completed in or before 2015 can be destroyed.

Due to the nature of public relations records, confidentiality generally does not attach to these records. However, be aware that constituents may include personal identifying information in complaints or service requests they submit, in which case, G.S. § 132-1.10 confers confidentiality.

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.



15.1 Agency Publications

DEFINED: Publications created at agency expense.

SEE ALSO: Directories and other compilations of resources and information are under AGENCY MANAGEMENT. Payments for agency publications are under FINANCIAL MANAGEMENT; contracts for publications are under LEGAL. The coding for websites is under INFORMATION TECHNOLOGY.

15.1

RC No.	Record Types	Description	Disposition Instructions	Citation
1511.S	Brochures/Pamphlets	ephemeral materials produced for marketing or registration purposes; also includes annual financial summary reports solely created for public distribution (e.g., Comprehensive Annual Financial Report [CAFR])	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1512.R	Media File	reference copies of newspaper, magazine, and other media clippings concerning the agency, agency officials, and other topics of interest	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
1513.T	Official Publications	record copies of agency materials published in print or online; includes reports, directory, maps, newsletters, information brochures/pamphlets, periodicals, and bulletins	Transfer 5 copies of publications for sale, 10 or more copies of free publications, or 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina.	<u>Authority</u> G.S. § 125-11.8(b)
1513.S		surplus copies of agency printed materials	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1514.5	Publications Management SEE ALSO: Contracts (LEGAL)	correspondence and other related records regarding the design and creation of agency publications	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.

RC No.	Record Types	Description	Disposition Instructions	Citation
1515.A	Social Media and Websites	social media sites and other websites that have historical content or have been identified for long-term retention for the purposes of institutional memory and planning; also includes comments and private messaging	PERMANENT (appraisal required) ∞ ¹	
1515.5	SEE ALSO: Reference Files (AGENCY MANAGEMENT); Advertisements (below); Audio-Visual Materials (below); Press Releases (below); Announcements (below)	social media sites and other websites containing routine content; also includes comments and private messaging	RETAIN UNTIL: Posted/Received PLUS: 5 years THEN: Destroy	
1515.S	SEE ALSO: Web Management and Operations Records (INFORMATION TECHNOLOGY)	other related records produced in planning and executing agency’s online presence	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

¹ The States Archives will periodically retrieve State agency websites, including social media websites, from the Internet and transfer them to the custody of the Archives for permanent retention. The North Carolina State Government Web Site Archive is available at <https://archive-it.org/collections/194>. The State of North Carolina Social Media Archive is available at <http://nc.gov.archivesocial.com/>. Agencies that opt out of participation in the automatic retrieval of websites and social media or whose media cannot be captured for technical reasons shall create snapshots annually or whenever a major revision has taken place, whichever occurs first, and transfer them to the custody of the Archives for permanent retention.

* 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.

15.2 Community Relations

DEFINED: Records produced in the course of interactions with the agency’s community.

SEE ALSO: Advertisements, Press Releases, and Speeches are under Marketing and Publicity. Reports that are aggregated from surveys are under AGENCY MANAGEMENT. Any billing statements generated for public records requests are under FINANCIAL MANAGEMENT. The records of Public Hearings that are reviewing proposed administrative rules are under GOVERNANCE; those convened by the Office of Administrative Hearings or the North Carolina Industrial Commission are under LEGAL; those related to compliance investigations are under MONITORING AND COMPLIANCE. Customer calls that convey complaints against employees should be handled according to the HUMAN RESOURCES schedule. Complaints that necessitate investigations or litigation or audits should be subsumed into the relevant records under HUMAN RESOURCES or LEGAL or MONITORING AND COMPLIANCE. Original petitions delivered to the General Assembly are under GOVERNANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1521.P	Awards	records concerning significant awards by the agency recognizing community contributions	PERMANENT (appraisal required) ∞	
1521.5		records concerning routine awards by the agency recognizing community contributions	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1522.1	Constituent Comments, Complaints, and Petitions SEE ALSO: Complaints (HUMAN RESOURCES); Petitions, Rule Making Proceedings (GOVERNANCE); Improper Conduct Investigations, Investigation and Hearing Records (MONITORING AND COMPLIANCE)	records concerning positive comments as well as objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency; includes petitions signed by constituents requesting action	RETAIN UNTIL: Closed PLUS: 1 year THEN: Destroy*	
1523.1	Constituent Requests	includes requests for service or information (RFI)	RETAIN UNTIL: Closed 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.

RC No.	Record Types	Description	Disposition Instructions	Citation
1524.<	Customer Call Center Recordings SEE ALSO: Complaints (HUMAN RESOURCES)	recordings of calls to customer service centers made for quality assurance and training purposes	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy*	
1525.R	External Surveys SEE ALSO: Reporting (AGENCY MANAGEMENT)	surveys distributed to and collected from constituents addressing agency services, policies, and other concerns	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	
1526.P	Public Hearings	minutes and/or transcripts of hearings	PERMANENT	
1526.1	SEE ALSO: Agency Hearings (LEGAL), Rule Making Proceedings (GOVERNANCE)	agendas, notices, speaker sign-up sheets, and other related records	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy*	
1527.2	Public Records Requests SEE ALSO: Accounts Receivable (FINANCIAL MANAGEMENT)	requests submitted by persons seeking access to agency records and documentation of agency response <i>NOTE: These disposition instructions apply only to the request, internal agency records related to searching for and preparing responsive records, and communication of response; the documents that are responsive to public records requests should be handled according to their respective disposition instructions (e.g., speaker sign-up sheets from a public hearing can be destroyed after 1 year; publications management materials can be destroyed after 5 years). However, if the agency also retains separate copies of the documents that are responsive to public records requests, they may also be destroyed 2 years after completion of the request.</i>	RETAIN UNTIL: Complete PLUS: 2 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.

15.3 Development

DEFINED: Records concerning agency efforts to encourage donations of materials or services in support of agency activities.

SEE ALSO: The documentation of financial contributions is under FINANCIAL MANAGEMENT.

15.3

RC No.	Record Types	Description	Disposition Instructions	Citation
1531.1	Acknowledgements	copies of acknowledgements sent to donors	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	
1532.S	Donor Lists	contact information for individuals and organizations that have expressed an interest in supporting agency activities	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1533.1	Fund Drive Materials SEE ALSO: Accounts Receivable (FINANCIAL MANAGEMENT)	records documenting the organization and promotion of fund drives and other special events in which the agency participated for the purpose of fundraising; includes records concerning solicitations requesting and donations providing money or in-kind donations for agency programs	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.

15.4 Marketing and Publicity

DEFINED: Records concerning overall public relations of the agency.

SEE ALSO: Contact lists are under AGENCY MANAGEMENT. Recordings of governing body meetings are under GOVERNANCE. Office surveillance recordings are under RISK MANAGEMENT.

15.4

RC No.	Record Types	Description	Disposition Instructions	Citation
1541.P	Advertisements	print or online ads that promote agency initiatives or publicize agency activities and have historical significance	PERMANENT	
1541.S		routine print or online ads that promote agency initiatives or publicize agency activities	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1542.P	Audio-Visual Materials	images, recordings, and films produced by or for the agency that have historical significance	PERMANENT (appraisal required) ∞	
1542.S	SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE), Workplace Security Records (RISK MANAGEMENT)	routine images, recordings, and films produced by or for the agency	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1543.S	Forms, Style Sheets, and Templates	blank forms, style sheets, templates, and letterhead used to establish agency branding	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1544.P	Press Releases	press releases that have historical significance	PERMANENT (appraisal required) ∞	
1544.S		routine press releases; includes public service announcements (PSAs)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1545.A	Speeches	historical speeches delivered by agency officials	PERMANENT (archival) ∞	
1545.R		routine speeches delivered by agency officials	RETAIN UNTIL: Reference value ends THEN: Destroy Agency Policy: _____	

* 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.

15.5 Programming and Training

DEFINED: Records concerning events and educational outreach organized by the agency.

SEE ALSO: Educational materials produced by licensed educators working within schools as well as training required for professional or recreational licenses are addressed under EDUCATION. Training provided to agency personnel is under HUMAN RELATIONS. Any financial information and payments collected from registrants are under FINANCIAL MANAGEMENT. Any release forms required to participate in agency-sponsored events are under LEGAL.

15.5

RC No.	Record Types	Description	Disposition Instructions	Citation
1551.P	Agendas, Exhibits, and Programs	agendas, handouts, presentations, and programs produced for agency events and exhibits that have historical significance	PERMANENT (appraisal required) ∞	
1551.S		routine agendas or programs produced for agency events and exhibits	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1552.S	Announcements	announcements sent concerning agency events	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1553.S	Educational Materials	materials produced for usage by teachers; includes lesson plans, activities, and other related records	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1554.P	Invitations	invitations sent concerning agency events that have historical significance	PERMANENT	
1554.S		routine invitations produced for agency events	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1555.S	Registration Materials	registrations, confirmations, and other logistical materials related to agency events	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1556.S	Training Materials SEE ALSO: Coursework (EDUCATION), Employee Training Materials (HUMAN RESOURCES)	agendas, handouts, presentations, and other related records produced for agency training events for external audiences	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.



Records That Will Transfer to the State Records Center

Appendix

1515.A Social Media and Websites: Electronic records will transfer immediately to the custody of the Archives.

Agency	Series Title	Item Number
Department of Natural and Cultural Resources	State Agencies' Website Preservation (Electronic) File	47744 


1521.P Awards: 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 Natural and Cultural Resources	Junior Historian Awards Day File	23100
	North Carolina Awards Committee File	766
	North Carolina Folk Heritage Awards File	42187

1542.P Audio-Visual Materials: 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 Natural and Cultural Resources	North Carolina Symphony Photographs File	977
	State Historic Sites Documentaries File	4083
	State Parks Public Information Media File	35193

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



1544.P Press Releases: 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	News Releases File	136
Agriculture and Consumer Services, Department of	News Releases File	8958
Environmental Quality, Department of	News Releases File	2485
Insurance, Department of	Press Releases File	11629 
Public Safety, Department of	News Releases File	9570

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.



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




1545.A Speeches File: 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	Commissioner of Agriculture Speeches File	37726
Commerce, Department of	Secretary of Commerce Speeches File	302 
Environmental Quality, Department of	Secretary of Environmental Quality Speeches File	47654
Health and Human Services, Department of	Secretary of Health and Human Services Speeches File	1615
Information Technology, Department of	State Chief Information Officer Speeches File	47360
	Center for Geographic Information and Analysis Speeches File	36016
Insurance, Department of	Department of Insurance Speeches File	3376
Justice, Department of	Attorney General Speeches File	2358
Labor, Department of	Commissioner of Labor Speeches File	2445
Natural and Cultural Resources, Department of	Secretary of Natural and Cultural Resources Speeches File	759
Public Instruction, Department of	State Superintendent's Speeches File	33443 
Revenue, Department of	Secretary of Revenue Speeches File	48483
Secretary of State, Department of the	Speeches File	47990
State Auditor, Office of the	Speeches File	9464
State Bureau of Investigation	State Bureau of Investigation Director Speeches File	14020
State Treasurer, Department of	State Treasurer Speeches File	50831
Transportation, Department of	Secretary of Transportation Speeches File	2943
Wildlife Resources Commission	Executive Director Speeches File	35977

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.

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



1551.P Agendas, Exhibits, and Programs: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Appendix

Agency	Series Title	Item Number
Information Technology, Department of	North Carolina Geographic Information System Conference File	36012
Natural and Cultural Resources, Department of	Museum of History Exhibits File	826
	NCMA Exhibition File	857
	NCMA Mary Duke Biddle Gallery File	861
	North Carolina Natural Science Museum Exhibits File	9205
	North Carolina Symphony Publicity File	976
	State Capitol Events File	49234

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



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.

Table of contents (A comprehensive listing of all record types is available on the functional schedule page at <https://archives.ncdcr.gov/government/state-government-agencies/functional-schedule>):

- 16.1 Accidents, Incidents, and Damage
 - 1611 Accident/Incident Reports
 - 1612 Lost, Stolen, or Damaged Property Reports
- 16.2 Emergency Management
 - 1621 Agency Disaster Planning
 - 1622 Alerts
 - 1623 Disaster Recovery Records
 - 1624 Forest Fire Incident Records
 - 1625 Search and Rescue Mission Records
- 16.3 Hazardous Materials Management
 - 1631 Asbestos Management Plan
 - 1632 Hazardous Materials Management
 - 1633 Safety Data Sheets
- 16.4 Insurance
 - 1641 Certificates of Insurance
 - 1642 Insurance Policies
 - 1643 Self-Insurer Certifications
- 16.5 Office Safety and Security
 - 1651 Emergency Drills and Equipment Tests
 - 1652 Employee Security Records
 - 1653 Fire, Health, and Safety Records
 - 1654 Fuel Oil Storage Tank Records
 - 1655 Inspections
 - 1656 Loss Control Inspection Reports
 - 1657 Reasonable Accommodations
 - 1658 Surveillance Recordings



1659 Workplace Security Records

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	

* 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
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	

* 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
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 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>

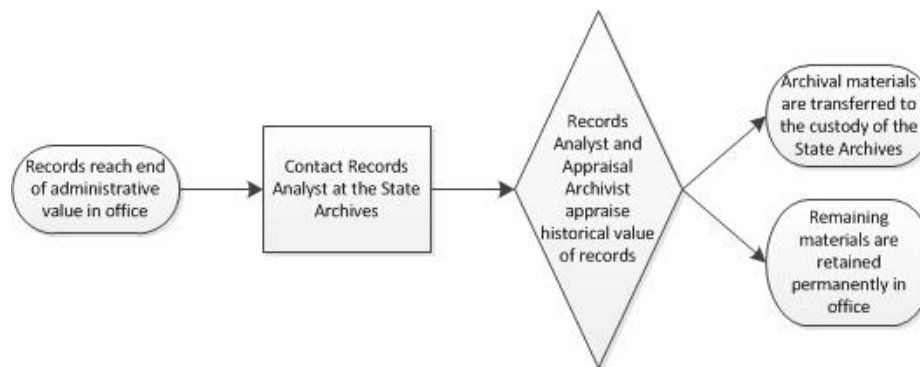
³ *Dictionary of Archives Terminology*

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 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.

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

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



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