

Records Retention and Disposition Schedule

Functional Schedule for North Carolina State Agencies



Issued By:



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Division of Archives and Records
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Functional Schedule for North Carolina State Agencies

February 24, 2025

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) When used in an approved records retention and disposition schedule, the provision that paper records are to be destroyed means that the records shall be:
 - (1) burned, unless prohibited by local ordinance;
 - (2) shredded or torn so as to destroy the record content of the documents or materials concerned;
 - (3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the document or materials concerned; or
 - (4) 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) When used in an approved records retention and disposition schedule, the provision that electronic records are to be destroyed means that the data and metadata are to be overwritten, deleted, and unlinked so the data and metadata may not be practicably reconstructed.
- (c) When used in an approved records retention and disposition schedule, the provision that confidential records of any format are to be destroyed means 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 the 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-preservation-and-access>. 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

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

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.

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

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 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.”² 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

SANC has further elaborated selection criteria that help distinguish records with archival value:

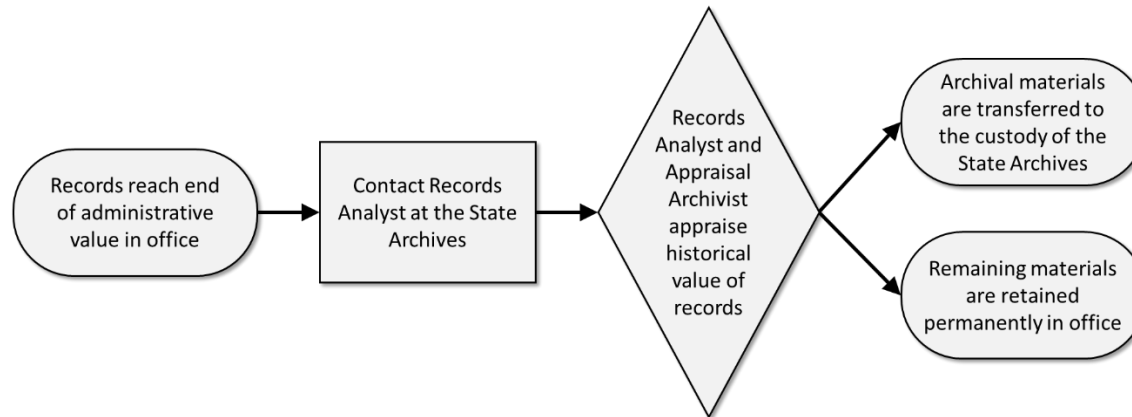
- Do they protect the rights and property of constituents and organizations?
- Do they have a long-term impact on constituents and organizations?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency’s policies or initiatives?
- Do they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

² Ibid.

- 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 shall establish internal policies to ensure consistency in retention and destructions.</i>)
S	destroy in office when superseded or obsolete
T	transfer completed record to another record series
<	retention period shorter than 1 year
	any numerical designation indicates the number of years the record should be retained. A number followed by a + indicates a retention period that extends less than 12 months beyond the specified number of years

Record Types – groupings of records that are “created, received, or used in the same activity.”³

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 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.

³ Ibid.

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

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

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

Several symbols are used within the disposition instructions

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

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include Authorities (governing the creation of records), Confidentiality (limiting access to public records), and Retention (setting a retention period).

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

1. Agency Management

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

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

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Appendix: Records That Will Transfer to the State Records Center

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

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

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

1.1 Establishing Organizational Structure

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

1.1

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

RC #	Record Types	Disposition Instructions	Citation
111.P	<p>Agency Histories (1 of 2)</p> <p>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</p> <p>SEE ALSO: Agency Policies (below)</p>	PERMANENT (appraisal required) ∞	
111.R	<p>Agency Histories (2 of 2)</p> <p>Routine records documenting the history or development of an agency or programs within the agency</p> <p>SEE ALSO: Agency Policies (below)</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	
112.S	<p>Organizational Charts</p> <p>Records depicting agency structure</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
113.P	<p>Structure/Restructuring Records (1 of 3)</p> <p>Decision-making records documenting the creation of a new agency or agency mergers/splits</p>	PERMANENT (appraisal required)	
113.R	<p>Structure/Restructuring Records (2 of 3)</p> <p>Operational records documenting the creation of a new agency or agency mergers/splits, including internal reorganizations</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</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.

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



RC #	Record Types	Disposition Instructions	Citation
113.A	Structure/Restructuring Records (3 of 3) Records documenting transitions between administrations	PERMANENT (archival)	

1.1

* 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.

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

1.2 Information Management

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

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

1.2

RC #	Record Types	Disposition Instructions	Citation
121.S	<p>Collected Data</p> <p>Information and statistics compiled and analyzed for research purposes or to support the agency management function</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><i>NOTE: If data contains confidential information, abide by relevant restrictions</i></p>
122.S	<p>Contact Lists</p> <p>Lists of people and organizations to whom information is distributed by the agency</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
123.S	<p>Indices and Inventories</p> <p>Records that are used for tracking the existence and location of information within the agency</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
124.P	<p>Records Management Materials (1 of 2)</p> <p>Records documenting the final disposition of public records; includes destruction logs and transfer forms</p> <p>SEE ALSO: Indices and Inventories (above), Public Records Requests (PUBLIC RELATIONS)</p>	<p>PERMANENT</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.

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

RC #	Record Types	Disposition Instructions	Citation
124.S	<p>Records Management Materials (2 of 2)</p> <p>Records documenting the management of public records; includes approved retention and disposition schedules, file plans, and other related records</p> <p>SEE ALSO: Indices and Inventories (above), Public Records Requests (PUBLIC RELATIONS)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
125.R	<p>Reference Files</p> <p>a) Materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency</p> <p>b) Subject files containing informational copies of records organized by areas of interest</p> <p>c) Reference copies of records where another individual or agency is responsible for maintaining the record copy</p> <p>SEE ALSO: Media File (PUBLIC RELATIONS)</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	
126.R	<p>Tracking Materials</p> <p>Records intended to verify the receipt of information; includes certified mail receipts</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</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.

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

1.3 Operations

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

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

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

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

1.3

RC #	Record Types	Disposition Instructions	Citation
131.5	<p>Accreditation Records</p> <p>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</p> <p>SEE ALSO: Authorizing and Licensing (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
132.<	<p>Calendars (1 of 2)</p> <p>Schedules of the agency head/secretary</p> <p>SEE ALSO: Scheduling (GOVERNANCE)</p>	<p>RETAIN UNTIL: End of term</p> <p>THEN: Destroy</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.

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

RC #	Record Types	Disposition Instructions	Citation
132.S	<p>Calendars (2 of 2)</p> <p>Schedules of agency staff and events</p> <p>SEE ALSO: Scheduling (GOVERNANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
133.A	<p>Correspondence (1 of 5)</p> <p>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</p> <p>SEE ALSO: Governing and Advisory Body Correspondence (GOVERNANCE)</p>	<p>PERMANENT (archival) ∞</p>	
133.P	<p>Correspondence (2 of 5)</p> <p>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</p> <p>SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL), E-mail Backups (INFORMATION TECHNOLOGY)</p> <p><i>NOTE: Excludes adjudicatory communications related to court proceedings in the Judicial Branch</i></p>	<p>PERMANENT (appraisal required) ∞</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.

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

RC #	Record Types	Disposition Instructions	Citation
133.5	<p>Correspondence (3 of 5)</p> <p>Internal and external communications (including e-mail) to and from all other agency employees</p> <p>SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL), E-mail Backups (INFORMATION TECHNOLOGY)</p> <p><i>NOTE: Excludes adjudicatory communications related to court proceedings in the Judicial Branch</i></p>	<p>RETAIN UNTIL: Received/Sent</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>EO No. 12 (2013)</p>
133.1	<p>Correspondence (4 of 5)</p> <p>Unsolicited correspondence received by the agency that requires no response and is not subject to Executive Order No. 12 (2013)</p> <p>SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL), E-mail Backups (INFORMATION TECHNOLOGY)</p> <p><i>NOTE: Excludes adjudicatory communications related to court proceedings in the Judicial Branch</i></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
133.<	<p>Correspondence (5 of 5)</p> <p>Outgoing agency mail returned for any reason, including incorrect address, forwarding order expired, etc.</p> <p>SEE ALSO: Institutional Correspondence (EDUCATION), Executive Office (GOVERNANCE), General Legal Correspondence (LEGAL), E-mail Backups (INFORMATION TECHNOLOGY)</p> <p><i>NOTE: Excludes adjudicatory communications related to court proceedings in the Judicial Branch</i></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	

1.3

* 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.

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

RC #	Record Types	Disposition Instructions	Citation
134.S	<p>Information Sharing Materials</p> <p>Internal records such as memoranda, newsletters, and bulletins that circulate information within the agency</p> <p>SEE ALSO: PUBLIC RELATIONS</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
135.S	<p>Logistics Materials</p> <p>Routine notices, task lists, and arrangements</p> <p>SEE ALSO: Travel Requests (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
136.1	<p>Meeting Materials (1 of 3)</p> <p>Minutes and attachments for internal committees or task forces</p> <p>SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
136.S	<p>Meeting Materials (2 of 3)</p> <p>Agendas, meeting packets, visual aids, presentations, notes, and audio/visual recordings for internal committees or task forces</p> <p>SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
136.R	<p>Meeting Materials (3 of 3)</p> <p>Agendas, meeting packets, notes, and other related records from meetings attended by agency personnel</p> <p>SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE)</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</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.

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

RC #	Record Types	Disposition Instructions	Citation
137.S	<p>Membership Records (1 of 2)</p> <p>Records concerning memberships or registrations on behalf of the agency or agency personnel</p> <p>SEE ALSO: Accounts Payable (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy*</p>	
137.A	<p>Membership Records (2 of 2) – State Bureau of Investigation</p> <p>Records concerning organizations with which the Director of the State Bureau of Investigation has been affiliated</p> <p>SEE ALSO: Accounts Payable (FINANCIAL MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</p>	
138.3	<p>Procedures</p> <p>Documentation of procedures employed within the agency</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
139.3	<p>Project Documentation (1 of 2)</p> <p>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</p> <p>SEE ALSO: Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
139.P	<p>Project Documentation (2 of 2)</p> <p>Records documenting special projects that establish new programs or services for the agency that become ongoing functions and priorities</p> <p>SEE ALSO: Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>PERMANENT (appraisal required) ∞</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.

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

1.4 Reporting

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

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

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

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

RC #	Record Types	Disposition Instructions	Citation
141.A	<p>Reports Received by the Agency (1 of 3) – General Assembly</p> <p>Reports required to be submitted to the General Assembly</p> <p>SEE ALSO: Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)</p>	PERMANENT (archival) ∞	
141.P	<p>Reports Received by the Agency (2 of 3) – Department of Natural and Cultural Resources</p> <p>Reports of unmarked human burial and human skeletal remains submitted to the Department of Natural and Cultural Resources</p> <p>SEE ALSO: Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)</p>	PERMANENT	<p><u>Confidentiality</u></p> <p>G.S. § 70-18</p>
141.S	<p>Reports Received by the Agency (3 of 3)</p> <p>Other reports required to be submitted to the agency</p> <p>SEE ALSO: Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</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.
 ‡ The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

RC #	Record Types	Disposition Instructions	Citation
142.A-1	<p>Reports Written by the Agency (1 of 4)</p> <p>a) Annual and biennial reports</p> <p>b) Reports prepared at the request of an agency’s governing body or a court</p> <p>SEE ALSO: Financial Reports (FINANCIAL MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</p> <p>-OR-</p> <p>Transfer to State Publications Clearinghouse, State Library of North Carolina:</p> <p>a) <i>Report (printed):</i> 2 print copies AND an electronic copy, or 10 print copies</p> <p>b) <i>Report (no print run):</i> 1 electronic copy</p>	<p><u>Authority</u></p> <p>G.S. § 125-11.5 through 11.10</p>
142.A-2	<p>Reports Written by the Agency (2 of 4) – Department of Transportation</p> <p>Prison Labor Reports from the Department of Transportation</p> <p>SEE ALSO: Financial Reports (FINANCIAL MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</p>	
142.3	<p>Reports Written by the Agency (3 of 4)</p> <p>Monthly, bimonthly, quarterly, or semi-annual reports</p> <p>SEE ALSO: Financial Reports (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
142.1	<p>Reports Written by the Agency (4 of 4)</p> <p>Daily or periodic activity reports concerning workload measurements, time studies, productivity, services rendered, or other similar records</p> <p>SEE ALSO: Financial Reports (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</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.

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

1.5 Strategic Management

DEFINED: Activities related to systematic planning for the agency.

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

1.5

RC #	Record Types	Disposition Instructions	Citation
151.P-1	<p>Agency Policies (1 of 2)</p> <p>Agency policies that have state-wide significance</p> <p>SEE ALSO: HIPAA Policies (HEALTHCARE), Personnel Administrative Records (HUMAN RESOURCES), Electronic Records Policies (INFORMATION TECHNOLOGY)</p>	PERMANENT (appraisal required) ∞	
151.P-2	<p>Agency Policies (2 of 2)</p> <p>Policies that are agency-specific</p> <p>SEE ALSO: HIPAA Policies (HEALTHCARE), Personnel Administrative Records (HUMAN RESOURCES), Electronic Records Policies (INFORMATION TECHNOLOGY)</p>	PERMANENT	
152.2	<p>Business Plans</p> <p>Plans for managing the agency’s units, projects, workforce, etc.; includes timelines, benchmarks, responsibilities, and routine work instructions</p>	<p>RETAIN UNTIL: Execution of plan</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	
153.S	<p>Goals and Mission Statements</p> <p>High level definitions of priorities for the agency</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
154.P	<p>Strategic Plans (1 of 2)</p> <p>Long-term plans intended to carry out the agency’s core functions</p>	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.

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



RC #	Record Types	Disposition Instructions	Citation
154.5	Strategic Plans (2 of 2) Records concerning the development of strategic plans	RETAIN UNTIL: Adoption of plan PLUS: 5 years THEN: Destroy	

1.5

* 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.

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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

Agency	Series Title	Item Number
Administration, Department of	NC Council for Women Historical File	49233
Agriculture and Consumer Services, Department of	NC Forest Service History File	2684
Agriculture and Consumer Services, Department of	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
Information Technology, Department of	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
Public Safety, Department of	Secretary's Office Historical File	49345
Treasurer, Department of State	Departmental History File	16241

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

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



Agency	Series Title	Item Number
Controller, Office of the State	State Controller’s Correspondence File	44633
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
Human Resources, Office of State	Director’s Correspondence File	165
Information Technology, Department of	Secretary’s Correspondence File	47357
Insurance, Department of	Commissioner’s Correspondence File	11620
Investigation, State Bureau of	Director’s Correspondence File	16574
Justice, Department of	Attorney General’s Correspondence File	2344
Labor, Department of	Commissioner’s Correspondence File	50824
Military and Veterans Affairs, Department of	Secretary’s Correspondence File	179
Natural and Cultural Resources, Department of	Secretary’s Correspondence File	750
Public Instruction, Department of	State Superintendent’s Correspondence File	33435
Public Safety, Department of	NC Alcoholic Beverage Control Commission Chairman’s Correspondence File	314
Public Safety, Department of	Secretary’s Correspondence File	50821
Revenue, Department of	Secretary’s Correspondence File	2755
Secretary of State, Department of the	Secretary’s Correspondence File	2914
Investigation, State Bureau of	Director’s Correspondence File	16574
Transportation, Department of	Secretary’s Correspondence File	2927
Treasurer, Department of State	State Treasurer’s Correspondence File	16271

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

Agency	Series Title	Item Number
Administrative Office of the Courts	Assistant Director’s Correspondence File	2313
Administrative Office of the Courts	Guardian ad Litem Administrator’s Correspondence File	40560
Administrative Office of the Courts	Research and Planning Division Director’s Correspondence File	10572
Agriculture and Consumer Services, Department of	Division of Marketing Director’s Correspondence File	3512

Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of	Meat and Poultry Inspection Division Director’s Correspondence File	47450
Agriculture and Consumer Services, Department of	Plant Industry Division Director’s Correspondence File	35561
Commerce, Department of	Assistant Secretary of Workforce Solutions Correspondence File	27104
Environmental Quality, Department of	Environmental Management Director’s Correspondence File	31344
Fire Marshal, Office of State	Office of State Fire Marshal Senior Deputy Commissioner’s Correspondence File	11877
Health and Human Services, Department of	Division of Medical Assistance Deputy Director’s Correspondence File	33273
Health and Human Services, Department of	Division of Medical Assistance Director’s Correspondence File	1853
Information Technology, Department of	Center for Geographic Information and Analysis Director’s Correspondence File	36031
Information Technology, Department of	Customer and Public Relationship Director’s Correspondence File	47439
Information Technology, Department of	Deputy State Chief Information Officer’s Correspondence File	47358
Information Technology, Department of	Information Security Manager’s Correspondence File	47322
Insurance, Department of	Assistant Commissioner’s Correspondence File	11870
Insurance, Department of	Chief Deputy Commissioner’s Correspondence File	41769
Insurance, Department of	Chief Information Officer’s Correspondence File	50601
Insurance, Department of	Life and Health Insurance Division Commissioner’s Correspondence File	35341
Investigation, State Bureau of	Assistant Director of Field Operations (East) Correspondence File	50443
Investigation, State Bureau of	Assistant Director of Field Operations (West) Correspondence File	50470
Investigation, State Bureau of	Assistant Director of Professional Standards Correspondence File	50471
Investigation, State Bureau of	Deputy Director’s Correspondence File	50473
Labor, Department of	Director of Administration and Governmental Affairs Correspondence File	50126
Lottery Commission, North Carolina State	Executive Director’s Correspondence File	47590
Natural and Cultural Resources, Department of	Chief Deputy Secretary’s Correspondence File	760
Natural and Cultural Resources, Department of	Communications Director’s File	2096
Natural and Cultural Resources, Department of	Division of Aquariums Director’s Correspondence File	36705
Natural and Cultural Resources, Department of	Division of Archives and Records Director’s Correspondence File	3989
Natural and Cultural Resources, Department of	North Carolina Museum of Art Director’s Correspondence File	858
Natural and Cultural Resources, Department of	North Carolina Museum of Natural Sciences Director’s Correspondence File	212
Natural and Cultural Resources, Department of	North Carolina Zoological Park Curator’s General Correspondence File	23677
Natural and Cultural Resources, Department of	State History Museum Director’s Correspondence File	23068
Natural and Cultural Resources, Department of	State Librarian’s Correspondence File	8911
Natural and Cultural Resources, Department of	State Parks Director’s Correspondence File	3406

Appendix



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



Agency	Series Title	Item Number
Treasurer, Department of State	General Counsel	50891
Treasurer, Department of State	Human Resources Director	50892
Treasurer, Department of State	Legislative Liaison	50893
Treasurer, Department of State	Policy Development Analyst/Legislative Analyst	50894
Treasurer, Department of State	Policy Director, Retirement Systems Division	50895
Wildlife Resources Commission	Executive Director’s Correspondence File	2742

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

Agency	Series Title	Item Number
Administrative Office of the Courts	Guardian ad Litem Agency, Institutional, and Organizational Correspondence File	40561
Administrative Office of the Courts	Office of Counsel Correspondence and Memoranda File	2315
Agriculture and Consumer Services, Department of	Agriculture Cost-Share Program Correspondence File	17302
Agriculture and Consumer Services, Department of	Agriculture Research Stations and State Farm Operations Division Correspondence File	9268
Agriculture and Consumer Services, Department of	Plant Protection Section Correspondence File	9125
Agriculture and Consumer Services, Department of	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
Environmental Quality, Department of	Division of Soil and Water Conservation Correspondence File	17842
Environmental Quality, Department of	Division of Water Quality Correspondence File	2602
Ethics Commission, North Carolina State	Correspondence File	3889
Health and Human Services, Department of	Division of Medical Assistance Control Correspondence File	4075
Health and Human Services, Department of	Health Care Financing Administration Correspondence File	33274
Health and Human Services, Department of	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
Natural and Cultural Resources, Department of	Historical Research Branch General Correspondence File	13974
Natural and Cultural Resources, Department of	North Carolina Museum of Art Correspondence File	18855
Natural and Cultural Resources, Department of	North Carolina Museum of Art Organizational Correspondence File	859
Natural and Cultural Resources, Department of	Office of Archives and History Administrative Correspondence File	13037



Agency	Series Title	Item Number
Natural and Cultural Resources, Department of	Office of State Archaeology Correspondence File	818
Natural and Cultural Resources, Department of	State Historic Preservation Office Administrative Correspondence File	808
Natural and Cultural Resources, Department of	State Historic Sites Correspondence File	29274
Public Instruction, Department of	North Carolina Professional Teaching Standards Commission Correspondence File	30593
Public Instruction, Department of	Teacher Education Section Initial Certification Program Correspondence File	29688
Secretary of State, Department of the	Advance Health Care Directives Section Correspondence File	50854
Secretary of State, Department of the	Authentications Section Correspondence File	50853
Secretary of State, Department of the	Certification and Filing Division Correspondence File	50850
Secretary of State, Department of the	Charitable Solicitation Licensing Division Correspondence File	50848
Secretary of State, Department of the	Electronic Notarization and Notary Enforcement Division Correspondence File	50851
Secretary of State, Department of the	Land Records Section Correspondence File	50849
Secretary of State, Department of the	Notary Public Division Correspondence File	17110
Secretary of State, Department of the	Securities Division Correspondence File	50847
Secretary of State, Department of the	Trademarks Registration Office Correspondence File	50852
Sentencing and Policy Advisory Commission, NC	Correspondence File	39223
Treasurer, Department of State	Actuary Correspondence File	16277

Appendix

137.A Membership Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Investigation, State Bureau of	State Bureau of Investigation Committees, Commissions, and Associations File	16575

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

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

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

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

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

Agency	Series Title	Item Number
Acupuncture Licensing Board, North Carolina	Reports File	50132
Addictions Specialist Professional Practice Board, North Carolina	Reports File	50299
Administrative Hearings, Office of	Human Relations Commission Reports File	57
Administrative Office of the Courts	Guardian ad Litem Division Statistical Reports File	40585
Agriculture and Consumer Services, Department of	North Carolina Forest Service Federal Reports File	2702
Agriculture and Consumer Services, Department of	North Carolina Forest Service State Reports File	24231
Appraisal Board, North Carolina	Reports File	50136
Architecture and Registered Interior Designers, North Carolina Board of	Reports File	50143
Athletic Trainer Examiners, North Carolina Board of	Reports File	50160
Auctioneers Commission, North Carolina	Reports File	50303
Barber and Electrolysis Examiners, North Carolina Board of	Reports File	50911
Cemetery Commission, North Carolina	Reports File	50301
Certified Public Accountant Examiners, North Carolina State Board of	Annual Reports	21059
Chiropractic Examiners, North Carolina State Board of	Reports File	28878
Commerce, Department of	Rural Manpower Reports File	12073
Cosmetic Art Examiners, North Carolina Board of	Annual Reports File	17476

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Agency	Series Title	Item Number
Counselors, North Carolina Board of Licensed Clinical Mental Health	Reports File	50193
Dental Examiners, North Carolina State Board of	Governor’s Reports File	45729
Dietetics/Nutrition, North Carolina Board of	Reports File	50195
Economic Development Partnership of North Carolina	Annual Reports File	14885
Electrical Contractors, State Board of Examiners of	Reports File	50196
Engineers and Surveyors, North Carolina State Board of Examiners for	Reports File	50220
Environmental Health Specialist Examiners, North Carolina State Board of	Annual Reports File	20094
Environmental Quality, Department of	Groundwater Section Reports File	17386
Foresters, North Carolina State Board of Registration for	Reports File	50221
Funeral Service, North Carolina Board of	Reports File	21850
General Contractors, North Carolina Licensing Board for	Annual Reports File	28752
Geologists, North Carolina Board for Licensing of	Annual Reports File	26950
Hearing Aid Dealers and Fitters Board, North Carolina	Reports File	50251
Interpreter and Transliterator Licensing Board, North Carolina	Reports File	50252
Insurance, Department of	Managed Care and Health Benefits Division Annual Reports File	43699
Irrigation Contractors' Licensing Board, North Carolina	Reports File	50283
Labor, Department of	Occupational Safety and Health Annual Comparisons Reports File	35269
Labor, Department of	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

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Functional Schedule for North Carolina State Agencies (2025)



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

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Agency	Series Title	Item Number
Psychology Board, North Carolina	Reports File	17046
Public Instruction, Department of	Governor’s School Annual Reports File	1454
Public Instruction, Department of	North Carolina Professional Educator Preparation and Standards Commission Reports File	47011
Public Safety, Department of	Department of Adult Correction Reports File	10172
Public Safety, Department of	Department of Adult Correction Statistical Reports File	36302
Public Safety, Department of	Division of Emergency Management Annual Operations Reports File	37455
Public Safety, Department of	Division of Emergency Management Hazard Mitigation Program Status and Financial Reports File	37155
Real Estate Commission, North Carolina	Reports File	50294
Recreational Therapy Licensure, North Carolina Board of	Reports File	50295
Refrigeration Contractors, North Carolina State Board of	Reports File	50296
Revenue, Department of	Secretary of Revenue Reports File	2752
Social Work Certification and Licensure Board, North Carolina	Reports File	31172
Soil Scientists, North Carolina Board for Licensing of	Reports File	50297
Speech Language Pathologists and Audiologists, North Carolina Board of Examiners for	Reports File	50298
Transportation, Department of	State Maintenance Branch Prison Labor Reports File	3135
Treasurer, Department of State	Deputy Treasurer’s Reports File	16272
Treasurer, Department of State	Retirement Systems Divisional Reports File	16279
Treasurer, Department of State	Treasurer’s Reports File	50832
Veterinary Medical Board, North Carolina	Reports File	50300

Appendix



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

Agency	Series Title	Item Number
Agriculture and Consumer Services, Department of	NC Forest Service Forest Management Policies File	2679
Elections, North Carolina State Board of	Administrative File	21076
Housing Finance Agency, North Carolina	Housing Partnership Board Policies File	19644
Information Technology, Department of	Center for Geographic Information and Analysis Policies, Procedures, and Regulations File	36003
Information Technology, Department of	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
Natural and Cultural Resources, Department of	Digital Services Policies and Guidelines File	50405
Revenue, Department of	Corporate, Excise and Insurance Tax Division Policies File	48976
Human Resources, Office of State	Directives File	28213
Treasurer, Department of State	Financial Operations Division Policies File	49343
Treasurer, Department of State	Investment Management Division Policies File	48231
Treasurer, Department of State	Retirement Systems Division Policies File	48646
Treasurer, Department of State	State and Local Government Finance Division Policies File	48571

Appendix

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

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

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 Resources 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](#)

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

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

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

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

2.1 Natural and Cultural Resource Management

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

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


2.1

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

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

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

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

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

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 © See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

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

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

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

* 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	Disposition Instructions	Citation
222.1-1 	<p>Facility Management Records (2 of 4)</p> <p>As-built drawings, updated as necessary for renovations or additions</p> <p>SEE ALSO: IT Assistance Records (INFORMATION TECHNOLOGY), As-Built Drawings (INFRASTRUCTURE MANAGEMENT), Monitoring Surveys and Reports (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: building is renovated or demolished</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p> <p><i>NOTE: If building is sold, transfer records to new owner</i></p>	<p><u>Confidentiality</u></p> <p>G.S. § 132.1-7</p>
222.1-2	<p>Facility Management Records (3 of 4)</p> <p>a) Environmental monitoring records within agency facilities</p> <p>b) Routine janitorial cleaning and maintenance records for properties, facilities, vehicles, and other equipment; includes work/repair orders and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
222.S 	<p>Facility Management Records (4 of 4)</p> <p>Blueprints, floorplans, drawings, and other preliminary design and construction documents</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132.1-7</p>
223.A	<p>Ferry Plans – Department of Transportation</p> <p>Building plans and specifications for each ferry operated by the Department of Transportation</p>	<p>PERMANENT (archival) ∞</p>	
224.3	<p>Inventory Management Records (1 of 2)</p> <p>Inventory control and usage records; includes records that track the movement of inventory, such as requisitions/draw tickets, along with mileage logs, request forms, and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	

* 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	Disposition Instructions	Citation
224.S	<p>Inventory Management Records (2 of 2)</p> <p>a) Lists of properties, facilities, fixed assets, supplies, and surplus property</p> <p>b) Operating manuals, specifications, and warranties</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
225.3	<p>Permits</p> <p>Records conferring permission to use State property or facilities (including timber harvests); includes applications, permits, and other related records</p> <p>SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
226.3	<p>Property Management Records (1 of 3)</p> <p>Management plans for state farms, forests, and parks; includes wildfires, use of pesticides, etc. and other related records</p> <p>SEE ALSO: Damaged Property Reports (RISK MANAGEMENT), Surveys and Maps (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
226.S	<p>Property Management Records (2 of 3)</p> <p>a) Appraisals of the financial valuation of State-owned property and surveys of and geographical data collected about State-owned property</p> <p>b) Plats and maps of State-owned property; also includes GIS data</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
226.A	<p>Property Management Records (3 of 3) – Department of Military and Veterans Affairs</p> <p>Records of burial information at cemeteries operated by the Department of Military and Veterans Affairs</p>	<p>PERMANENT (archival) ∞</p>	
227.S	<p>Vehicle Registration Records</p> <p>Registration documents for all State-owned vehicles</p> <p>SEE ALSO: Vehicle Titles (LEGAL)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	

* 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

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

Appendix

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

217.A Protections Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

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

217.P Protections Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Natural and Cultural Resources, Department of	Property Survey File	3551

218.A Records Management Documentation: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Natural and Cultural Resources, Department of	Superseded Records Retention and Disposition Schedules File	3919



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

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

223.A Ferry Plans: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Transportation, Department of	Ferry Plans and Specifications File	26066

226.A Property Management Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Military and Veterans Affairs, Department of	Veterans Cemeteries File	50825

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.

3

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](#)

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

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) and G.S. § 132-6(d1) establish 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.



3.1

RC No.	Record Types	Disposition Instructions	Citation
311.R	<p>Economic Advancement Plans – Department of Commerce</p> <p>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</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p> <p><i>NOTE: Transfer official copy of project documentation to local government entity on behalf of which the project was completed</i></p>	
312.A	 <p>Historically Underutilized Businesses (HUB) Records (1 of 5) – Department of Administration</p> <p>HUB records concerning minority, disabled, or female-owned businesses; includes verification/certification and approval letters, site visit documentation, and other related records</p>	<p>PERMANENT (archival) ∞</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p> <p>G.S. § 132-6(d)</p> <p>G.S. § 132-6(d1)</p>
312.P	<p>Historically Underutilized Businesses (HUB) Records (2 of 5) – Department of Administration</p> <p>Data collected by HUB; includes construction as well as goods and services reporting</p>	<p>PERMANENT</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.

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

RC No.	Record Types	Disposition Instructions	Citation
312.1	<p>Historically Underutilized Businesses (HUB) Records (3 of 5) – Department of Administration</p> <p>Letters of denial and other related records to or from vendors who have been denied HUB designation; also includes unrequired submissions</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	
312.< 	<p>Historically Underutilized Businesses (HUB) Records (4 of 5) – Department of Administration</p> <p>Withdrawn or incomplete applications submitted to HUB</p>	<p>RETAIN UNTIL: Withdrawn or evaluated</p> <p>THEN: Return to applicant</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p> <p>G.S. § 132-1.10</p>
312.6	<p>Historically Underutilized Businesses (HUB) Records (5 of 5) – Department of Administration</p> <p>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</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 6 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 143-48(b)</p> <p>G.S. § 143-128.3</p>
313.A 	<p>Industrial Client Records from the Economic Development Partnership of North Carolina (EDPNC) (1 of 2)</p> <p>EDPNC records concerning foreign and domestic business clients; includes reports, annual reports of companies, brochures, memoranda, plans, employer profiles, customized training proposals, and photographs</p>	<p>PERMANENT (archival) ∞</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p> <p>G.S. § 132-6(d)</p> <p>G.S. § 132-6(d1)</p>
313.3	<p>Industrial Client Records from the Economic Development Partnership of North Carolina (EDPNC) (2 of 2)</p> <p>Information about EDPNC leads and prospective clients</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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.

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

RC No.	Record Types	Disposition Instructions	Citation
314.3	<p>Trade Show Records from the Economic Development Partnership of North Carolina (EDPNC) (1 of 4)</p> <p>EDPNC proposals, publicity results, financial reports, itineraries, and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
314.1-1	<p>Trade Show Records from the Economic Development Partnership of North Carolina (EDPNC) (2 of 4)</p> <p>EDPNC information on prospective participants</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
314.1-2	<p>Trade Show Records from the Economic Development Partnership of North Carolina (EDPNC) (3 of 4)</p> <p>EDPNC information on clients who participated in trade show events; includes correspondence, company information sheets, and product listings</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
314.<	<p>Trade Show Records from the Economic Development Partnership of North Carolina (EDPNC) (4 of 4)</p> <p>Applications from trade show participants submitted to EDPNC</p>	<p>RETAIN UNTIL: Completion of trade show</p> <p>THEN: Destroy</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.

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

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	Disposition Instructions	Citation
321.A	<p>Tourism and Marketing Publications – Economic Development Partnership of North Carolina</p> <p>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</p>	PERMANENT (archival) ∞	
322.A	<p>Tourism Data – Economic Development Partnership of North Carolina</p> <p>Official copies of statistical data and expenditure reports concerning travel and tourism in North Carolina accumulated by the Economic Development Partnership of North Carolina</p>	PERMANENT (archival) ∞	
323.A	<p>Welcome Center Records – Department of Commerce</p> <p>Correspondence between the Department of Commerce and individuals, state agencies, organizations, and companies regarding dedications and other welcome center affairs</p>	PERMANENT (archival) ∞	

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

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

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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
Administration, Department of	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
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
Economic Development Partnership of North Carolina	Tourism and Marketing Digital Media File	48352
Economic Development Partnership of North Carolina	Tourism and Marketing General Advertising File	399
Economic Development Partnership of North Carolina	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
Economic Development Partnership of North Carolina	Tourism Data File	14801

Appendix

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
Commerce, Department of	North Carolina Welcome Center Subject File	3839

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), prisons operated by Department of Adult Correction (DAC), and 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>):

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

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), the Department of Public Safety (DPS), and the Department of Adult Correction (DAC).

*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.*

RC No.	Record Types	Disposition Instructions	Citation
411.3	Attendance Lists (1 of 2) School-wide headcount reports	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
411.< 	Attendance Lists (2 of 2) 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	




* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
413.T 	Disciplinary Actions (1 of 2) 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 	Disciplinary Actions (2 of 2) 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
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 Records concerning requests for documentation from other LEAs or educational institutions; also includes responses SEE ALSO: Correspondence (AGENCY MANAGEMENT)	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	



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

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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	Disposition Instructions	Citation
421.A	<p>Coursework (1 of 3)</p> <p>Comprehensive qualifying examinations written by occupational licensing boards</p> <p>SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)</p>	PERMANENT (archival) ∞	<i>NOTE: Abide by any confidentiality restrictions relevant to the agency</i>
421.P	<p>Coursework (2 of 3)</p> <p>Materials produced for the training of law enforcement officers</p> <p>SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)</p>	PERMANENT	<i>NOTE: Abide by any confidentiality restrictions relevant to the agency</i>
421.S	<p>Coursework (3 of 3)</p> <p>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</p> <p>SEE ALSO: Training Certifications (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<i>NOTE: Abide by any 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.

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RC No.	Record Types	Disposition Instructions	Citation
<p>422.5</p> 	<p>Participant Information</p> <p>Includes applications, contact information, deliverables/assessments, effective and expiration dates of certificate/permit/ credential, continuing education units (CEUs), and other related records</p> <p>SEE ALSO: Licenses and Permits (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10</p> <p><i>NOTE: Abide by any additional confidentiality restrictions relevant to the agency</i></p>

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

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

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	Disposition Instructions	Citation
431.S	Assessments (1 of 2) Assessments developed and administered by classroom teachers	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
431.P 	Assessments (2 of 2) – Department of Public Instruction 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)
432.S	Course Development Includes proposals, outlines, syllabi, and pacing guides	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
433.P	Curriculum Development – Department of Public Instruction Standard Courses of Study developed by the Department of Public Instruction to define the scope and sequence of courses	PERMANENT	
434.S	Lesson Plans a) Lesson plans developed by individual teachers or teams b) Lesson plans licensed from vendors	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<i>NOTE: Abide by any relevant copyright restrictions</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.
 ‡ The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

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.

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.

4.4

RC No.	Record Types	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.

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.

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

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), Department of Public Safety (DPS), or Department of Adult Correction (DAC) 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	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 (1 of 2) 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/Retention</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App. 579)




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

RC No.	Record Types	Disposition Instructions	Citation
453.2 	Cumulative Record (2 of 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	<u>Confidentiality/Retention</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App. 579)
454.T	Driver Education Program (1 of 2) Driver education completion certificate	TRANSFER to Cumulative Record when issued	
454.<	Driver Education Program (2 of 2) 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 – Department of Public Instruction 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.

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

RC No.	Record Types	Disposition Instructions	Citation
458.5 	Services to Students with Disabilities 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 <i>NOTE: Includes qualifications under Section 504 of the 1973 Rehabilitation Act and the Individuals with Disabilities Education Act (IDEA)</i> SEE ALSO: Children’s Developmental Service Agency (CDSA) Patient Clinical Records (HEALTHCARE), Case Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)	RETAIN UNTIL: Student separates from program PLUS: 5 years THEN: Destroy* <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>	<u>Confidentiality</u> G.S. § 115C-402 <i>Goble v. Bounds</i> (13 N.C. App 579)
459.< 	Student Work Work submitted by students for individual assignments and assessments	RETAIN SAMPLES UNTIL: End of academic year THEN: Destroy <i>NOTE: Most work is returned to student after assessment</i>	<u>Confidentiality</u> 20 USC 1232g
4510.1	Transcript Requests Requests by students for transcripts	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.

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

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

RC No.	Record Types	Disposition Instructions	Citation
<p>4511.T</p> 	<p>Transition File – Department of Adult Correction</p> <p>Records documenting credentials and certifications earned by individuals in Department of Adult Correction correctional facilities</p>	<p>RETAIN UNTIL: Release</p> <p>THEN: Transfer to individual</p>	<p><u>Confidentiality</u></p> <p><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.

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

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

Records That Will Transfer to the State Records Center

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

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.

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

Agency	Series Title	Item Number
Auctioneers Commission, North Carolina	Comprehensive Examination File	48729
Electrical Contractors, North Carolina State Board of Examiners of	Comprehensive Examination File	48731
Foresters, North Carolina State Board of Registration for	Comprehensive Examination File	48737
Hearing Aid Dealers and Fitters Board, North Carolina State	Comprehensive Examination File	50806
Landscape Contractors' Licensing Board, North Carolina	Comprehensive Examination File	48733
On-Site Wastewater Contractors and Inspectors Certification Board, North Carolina	Comprehensive Examination File	48735
Pastoral Counselors, North Carolina State Board of Examiners of Fee-Based Practicing	Comprehensive Examination File	48639
Pharmacy, North Carolina Board of	Practical Examinations File	3341
Podiatry Examiners, North Carolina Board of	Comprehensive Examination File	48815
Psychology Board, North Carolina	Examinations Security File	17032
Real Estate Commission, North Carolina	Examinations File	20151
Refrigeration Contractors, State Board of	Examination Questions File	48105
State Bar, North Carolina	Paralegal Certification Examinations File	47996
State Bar, North Carolina	Specialization Certification Examinations File	48003
Water Treatment Facility Operators Certification Board, North Carolina	Examination File	19730

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
Law Examiners of the State of North Carolina, Board of	Failed Applications File	3322
Law Examiners of the State of North Carolina, Board of	Failed Examinations File	3326
Law Examiners of the State of North Carolina, Board of	Passed Examination File	3325
Law Examiners of the State of North Carolina, Board of	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
Public Safety, Department of	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
Public Instruction, Department of	N.C. High School Graduate Reports File	980

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.

5

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>):

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

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.

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).

Functional Schedule for North Carolina State Agencies (2025)



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.

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 Annual Comprehensive Financial Report (ACFR) 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 data stored in the North Carolina Financial System (NCFS) and North Carolina Accounting System (NCAS). Financial reports include those generated from NCFS as well as any other current or legacy system, such as NCAS.

RC No.	Record Types	Disposition Instructions	Citation
511.3	Accounts Payable (1 of 2) 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	Accounts Payable (2 of 2) 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)

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


RC No.	Record Types	Disposition Instructions	Citation
512.3	<p>Accounts Receivable</p> <p>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</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>NC OSC Policy 900.8</p>
513.3	<p>Accounts Uncollectable</p> <p>Records of accounts deemed uncollectable; includes returned checks, write-off authorizations, and other related records</p>	<p>RETAIN UNTIL: Determined uncollectable</p> <p>Agency Policy: _____</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>NC OSC Policy 900.8</p>
514.11	<p>Disbursing Account Statements (1 of 3) – State Treasurer</p> <p> Statements created by the State Treasurer indicating monthly activity for each disbursing account</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 11 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p>
514.3	<p>Disbursing Account Statements (2 of 3) – State Treasurer</p> <p> Records concerning the collection by the State Treasurer of forged state warrants</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>20 NCAC 01C .0402</p> <p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p>
514.2	<p>Disbursing Account Statements (3 of 3) – State Treasurer</p> <p> Source documents received by the State Treasurer for Federal Reserve Bank transactions, including warrants (State checks) and deposit transactions</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p> <p>G.S. § 147-68.2</p>

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RC No.	Record Types	Disposition Instructions	Citation
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 (1 of 4) – State Treasurer 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*	
516.10-2	Escheats (2 of 4) 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	Escheats (3 of 4) – State Treasurer 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	Escheats (4 of 4) – State Treasurer 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

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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	Disposition Instructions	Citation
517.S	<p>Fee Schedules</p> <p>Records concerning rates and fees of agency services and assessments; also includes rates for fines and penalties</p> <p>SEE ALSO: Accounts Receivable (above)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
518.3	<p>Financial Reports (1 of 5)</p> <p>Annual financial reports or other reports generated to inform decision-making</p> <p>SEE ALSO: Official Publications (PUBLIC RELATIONS), Reports Written by the Agency (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
518.1-1	<p>Financial Reports (2 of 5)</p> <p>Monthly or quarterly reports generated for operational purposes</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
518.1-2	<p>Financial Reports (3 of 5) – Housing Finance Agency</p> <p>Payment histories reported by the Housing Finance Agency to credit bureaus</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
518.<-1	<p>Financial Reports (4 of 5) – Office of the State Controller</p> <p>Daily or periodic reports generated from the North Carolina Financial System (NCFS) or legacy North Carolina Accounting System (NCAS) by the Office of the State Controller for operational purposes</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy</p>	
518.<-2	<p>Financial Reports (5 of 5)</p> <p>Logs and distribution reports generated to track transactions</p>	<p>RETAIN UNTIL: Released from audits</p> <p>THEN: Destroy</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.

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

RC No.	Record Types	Disposition Instructions	Citation
519.3	Journals and Ledgers (1 of 3) Year-end summaries of receipts and disbursements not in the North Carolina Financial System (NCFS) or legacy North Carolina Accounting System (NCAS); includes profit and loss statements	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	
519.1	Journals and Ledgers (2 of 3) Daily, monthly, and quarterly details of receipts, collections, and disbursements not in NCFS	RETAIN UNTIL: Fiscal year close PLUS: 1 year THEN: Destroy*	
519.6	Journals and Ledgers (3 of 3) – Office of the State Controller General and detail records of transactions in NCFS or legacy North Carolina Accounting System (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 (1 of 2) Bank statements, canceled checks, deposit slips, and reconciliation reports	RETAIN UNTIL: Fiscal year close PLUS: 3 years THEN: Destroy*	
5111.<	Reconciliations (2 of 2) Physical checks or other financial instruments received by the agency and deposited electronically	RETAIN UNTIL: Deposited PLUS: 30 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.

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RC No.	Record Types	Disposition Instructions	Citation
5112.5	Travel Requests (1 of 2) 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	Travel Requests (2 of 2) Requests and authorizations for travel; includes forms and itineraries	RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy	

5.1

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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.

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

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	Disposition Instructions	Citation
521.3	Budget Development Records (1 of 3) Budget requests and appropriations; includes justifications and requests for revisions	RETAIN UNTIL: Fiscal year close PLUS: 3 years Then: Destroy*	
521.2	Budget Development Records (2 of 3) Administrative budget records; includes research, correspondence, and other related records	RETAIN UNTIL: Fiscal year close PLUS: 2 years THEN: Destroy*	
521.35	Budget Development Records (3 of 3) – Office of State Budget and Management 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 (1 of 6) Periodic reports (weekly, monthly, quarterly) detailing actual year-to-date revenue and expenditures	RETAIN UNTIL: Fiscal year close PLUS: 1 year THEN: Destroy*	
522.<-1	Budget Execution and Tracking Records (2 of 6) Authorizations to move funds between budget codes	RETAIN UNTIL: Released from audits 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.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

RC No.	Record Types	Disposition Instructions	Citation
522.<-2	<p>Budget Execution and Tracking Records (3 of 6) – Office of the State Controller</p> <p>Budget reports generated from the North Carolina Financial System (NCFS) or legacy North Carolina Accounting System (NCAS) by the Office of the State Controller</p>	<p>RETAIN UNTIL: Released from audits</p> <p>THEN: Destroy*</p>	
522.A	<p>Budget Execution and Tracking Records (4 of 6) – Office of State Budget and Management</p> <p>Annual June 30th report from the Office of State Budget and Management (OSBM) detailing actual fiscal-year-end revenue and expenditures</p>	<p>PERMANENT (archival) ∞</p>	
522.13	<p>Budget Execution and Tracking Records (5 of 6) – Office of State Budget and Management</p> <p>Budget allotments issued by OSBM</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 13 years Ω</p> <p>THEN: Destroy*</p>	
522.7	<p>Budget Execution and Tracking Records (6 of 6) – Office of State Budget and Management</p> <p>Budget revisions issued by OSBM</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 7 years Ω</p> <p>THEN: Destroy*</p>	
523.3	<p>Budget Memos</p> <p>Directives regarding the state budget issued by any governing body that are not captured in the official minutes</p> <p>SEE ALSO: Archival Correspondence (AGENCY MANAGEMENT) for directives regarding the state budget issued by the director of the Office of State Budget and Management</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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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RC No.	Record Types	Disposition Instructions	Citation
524.3	<p>Budgetary Control Document Entries – Office of the State Controller</p> <p>Forms used by the Office of the State Controller to enter data into the North Carolina Financial System (NCFS) or legacy North Carolina Accounting System (NCAS)</p>	<p>RETAIN UNTIL: Fiscal year close</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	

5.2

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

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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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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 200.334(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition of the property/equipment. 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.***

5.3

RC No.	Record Types	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 (1 of 3) 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	Grants Administered by Agency (2 of 3) 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 200.334

* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
532.10	<p>Grants Administered by Agency (3 of 3)</p> <p>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</p>	<p>RETAIN UNTIL: Inactive or submission of final report</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>42 CFR 422.504(d) DHHS Office of the Controller memorandum (April 20, 2016)</p>
533.5	<p>Grants Issued by Agency (1 of 2)</p> <p>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</p>	<p>RETAIN UNTIL: Submission of final report</p> <p>PLUS: 5 years Ω</p> <p>THEN: Destroy*</p>	<p><u>Authority/Retention</u></p> <p>09 NCAC 03M .0703</p>
533.A	<p>Grants Issued by Agency (2 of 2)</p> <p>Final reports and deliverables or other documentation of the distribution of funds</p>	<p>PERMANENT (archival) ∞</p>	
534.5	<p>Grants Program Administration</p> <p>Records relating to the agency’s oversight of grant funding; includes fiscal and allocation reports, audit reports, correspondence, and other related records</p>	<p>RETAIN UNTIL: Submission of final report</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Authority/Retention</u></p> <p>09 NCAC 03M .0703</p>
535.P	<p>Grants Received by Agency (1 of 3)</p> <p>Records relating to major grants received by the agency that begin new initiatives or promote core functions of the agency</p>	<p>PERMANENT (appraisal required) ∞</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.

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



RC No.	Record Types	Disposition Instructions	Citation
535.5	<p>Grants Received by Agency (2 of 3)</p> <p>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</p>	<p>RETAIN UNTIL: Submission of final report</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Authority/Retention</u></p> <p>09 NCAC 03M .0703</p>
535.3	<p>Grants Received by Agency (3 of 3)</p> <p>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</p>	<p>RETAIN UNTIL: Submission of final report</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>2 CFR 200.334</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.

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

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	Disposition Instructions	Citation
541.S	Banking Records (1 of 2) 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	Banking Records (2 of 2) – State Treasurer Records concerning special funds maintained by the Department of the State Treasurer; includes disbursements and receipts	PERMANENT (archival) ∞	
542.A	Bond Records (1 of 3) – State Treasurer Records concerning the sale of bonds or certificates of debt issued by the State Treasurer. Includes bond transcripts, numbers, date of issue, when and where payable, at what premium, and to whom they may have been sold or issued	PERMANENT (archival) ∞	<u>Authority/Retention</u> G.S. § 142-3
542.P	Bond Records (2 of 3) Records concerning the sale of bonds or certificates of debt issued by state departments, institutions, agencies, or commissions as authorized by the Governor and Council of State. Includes bond transcripts, numbers, date of issue, when and where payable, at what premium, and to whom they may have been sold or issued	PERMANENT (appraisal required)	<u>Authority</u> G.S. § 143-163

* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
542.6	<p>Bond Records (3 of 3)</p> <p>Records concerning bond funds administered by the agency, such as vouchers, disbursements, payables of Certificates of Participation, and other records related to creditors. Also includes records concerning expenditure and/or investment of tax-exempt bond proceeds and financial records related to capital improvements</p>	<p>RETAIN UNTIL: Final maturity of bond</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	
543.3-1	<p>Investment Records (1 of 4)</p> <p>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</p>	<p>RETAIN UNTIL: Fiscal year end</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
543.3-2	<p>Investment Records (2 of 4)</p> <p>Records concerning investments with commercial banks; includes certificates of deposit as well as escrow collateral records</p>	<p>RETAIN UNTIL: Final maturity of investment</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
543.2	<p>Investment Records (3 of 4)</p> <p>Transaction schedules for projecting revenue on investments to be funded or collected</p>	<p>RETAIN UNTIL: Fiscal year end</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	
543.R	<p>Investment Records (4 of 4)</p> <p>Performance investment reports issued by broker or investment firm and other related performance review records</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy*</p> <p>Agency Policy: _____</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.




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

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.

5.5

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.

RC No.	Record Types	Disposition Instructions	Citation
551.5 	Awarded Scholarships (1 of 3) 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 	Awarded Scholarships (2 of 3) 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*	<u>Confidentiality</u> 20 USC § 1232g
551.3-2 	Awarded Scholarships (3 of 3) 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*	<u>Confidentiality</u> 20 USC § 1232g
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*	

* 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.

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


RC No.	Record Types	Disposition Instructions	Citation
553.7	Loan Records (1 of 5) 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	Loan Records (2 of 5) 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	Loan Records (3 of 5) 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 Records (4 of 5) 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 Records (5 of 5) 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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>554.1</p> 	<p>Rejected Loan and Scholarship Records</p> <p>Records concerning applications that are denied by the agency or awards that are declined by the recipient</p>	<p>RETAIN UNTIL: Notification of applicant</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>20 USC § 1232g</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.

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


5.6 Procurement

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

NOTE: The Department of Administration is the central procurement authority for non-IT goods and services. The Department of Information Technology is the authority for the procurement of IT goods and services. Purchasing agencies are required to maintain procurement files per 01 NCAC 05B .1903 and 09 NCAC 06B. 1402.

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	Disposition Instructions	Citation
561.5 	<p>Solicitations (including Invitation for Bids [IFB], Request for Proposal [RFP], and Request for Quote [RFQ]) (1 of 2)</p> <p>Records documenting accepted bids, proposals, and quotes to supply the agency with goods or services. Includes advertisements, tabulations, awards letters, good faith effort documentation, notices, evaluations, and related documents</p>	<p>RETAIN UNTIL: Termination or expiration of procurement contract</p> <p>PLUS: 5 years Ω</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10 G.S. § 136-28.5 01 NCAC 05B .0103 09 NCAC 06B .0103</p> <p><u>Retention</u></p> <p>01 NCAC 05B .1901 09 NCAC 06B .1401</p>
561.1	<p>Solicitations (including Invitation for Bids [IFB], Request for Proposal [RFP], and Request for Quote [RFQ]) (2 of 2)</p> <p>Records concerning rejected bids and proposals to provide the agency with goods or services</p>	<p>RETAIN UNTIL: Rejected</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</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.

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

RC No.	Record Types	Disposition Instructions	Citation
562.5	<p>Purchase Requisitions (PR) and Purchase Orders (PO) (1 of 2)</p> <p>Approved requests, authorizations, and other documents concerning purchased goods or services</p>	<p>RETAIN UNTIL: Termination or expiration of procurement contract</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>01 NCAC 05B .1901 09 NCAC 06B .1401</p>
562.1	<p>Purchase Requisitions (PR) and Purchase Orders (PO) (2 of 2)</p> <p>Denied requests, authorizations, and other documents concerning purchased goods or services</p>	<p>RETAIN UNTIL: Rejected</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	
563.3	<p>Qualified Products Lists (QPL) and Approved Products Lists (APL)</p> <p>Records identifying products approved for purchase under State contract</p> <p><i>NOTE: As of 2018 the Department of Administration no longer maintains QPLs</i></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
564.R	 <p>Pre-Solicitations (including Request for Information [RFI])</p> <p>Informal requests used to gather information from potential suppliers of goods or services</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy*</p> <p>Agency Policy: _____</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10 G.S. § 136-28.5 01 NCAC 05B .0103 09 NCAC 06B .0103</p>
565.S	<p>Vendor Records</p> <p>Records identifying vendors approved to conduct business with state agencies; also includes list of vendors debarred from doing business with State agencies</p> <p>SEE ALSO: Historically Underutilized Businesses (HUB) Records (ECONOMIC DEVELOPMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</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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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	Disposition Instructions	Citation
571.S	Assessments and Valuations Records concerning the assessment of tax value or appraisal of assets SEE ALSO: Fee Schedules (above)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
572.3	 Delinquent Taxpayer Records (1 of 3) – Department of Revenue Records concerning the levying of garnishments by the Department of Revenue; includes notices, correspondence, and other related records SEE ALSO: Garnishments (HUMAN RESOURCES)	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	Delinquent Taxpayer Records (2 of 3) – Department of Revenue Public listings of delinquent taxpayers by the Department of Revenue	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
572.3	 Delinquent Taxpayer Records (3 of 3) – Department of Revenue 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)

* 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.

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



RC No.	Record Types	Disposition Instructions	Citation
573.2	<p>Seizure of Property Records</p> <p>Records concerning the seizure and sale of property by the Department of Revenue</p>	<p>RETAIN UNTIL: Paid</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>G.S. § 105-242(a)(2)</p>
574.6	<p>Tax Credit Authorizations</p> <p>Records concerning the allocation of tax credits; includes applications, evaluations, correspondence, and other related records</p> <p>SEE ALSO: Employer Workforce Records, Eye Disability Reports (PUBLIC ASSISTANCE AND SUPPORT SERVICES)</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	
575.5	<p>Tax Forms</p> <p> 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</p>	<p>RETAIN UNTIL: Submitted to taxpayer and/or IRS</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10</p> <p><u>Retention</u></p> <p>04 NCAC 24D .0501(a) IRS Publication 15</p>
576.6-1	<p>Tax Returns (1 of 4)</p> <p>Tax returns filed by the agency</p>	<p>RETAIN UNTIL: Filed</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	
576.6-2	<p>Tax Returns (2 of 4) – Department of Revenue</p> <p> Tax returns received by the Department of Revenue; includes claims, exemptions, payment plans, refunds, and other related records</p>	<p>RETAIN UNTIL: Filed</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 105-113.112 G.S. § 105-259(b)</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.

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

RC No.	Record Types	Disposition Instructions	Citation
576.2 	Tax Returns (3 of 4) – Department of Revenue 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*	<u>Confidentiality</u> G.S. § 105-113.112 G.S. § 105-259(b)
576.< 	Tax Returns (4 of 4) – Department of Revenue 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*	<u>Confidentiality</u> G.S. § 105-113.112 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.

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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
Budget and Management, Office of State	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
Budget and Management, Office of State	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
Budget and Management, Office of State	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
Budget and Management, Office of State	Appropriations (Budget Revisions File)	1530

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
Commerce, Department of	Grant Records Transferred from N.C. Rural Center File	50590
Public Safety, Department of	Individual Assistance Unit Individual Disaster Applicants File	36571
Public Safety, Department of	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
Commerce, Department of	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
Health and Human Services, Department of	Environmental Inorganic Chemistry – Fluoride Reports File	1837
Health and Human Services, Department of	Environmental Inorganic Chemistry (Raw Data) File	27420
Health and Human Services, Department of	Hospital Providers Audits File	48424
Health and Human Services, Department of	Long-Term Care (Skilled Nursing and Intermediate Care) Cost Reports File	1872
Health and Human Services, Department of	Purchase of Medical Care Services Medical Cases File	1775

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
Natural and Cultural Resources, Department of	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.

Appendix

Agency	Series Title	Item Number
Commerce, Department of	Commerce Finance Center Awarded State Grants File	386
Commerce, Department of	Expanded Gas Products Service to Agriculture Fund Grants File	50861
Commerce, Department of	Industrial Development Fund/Utility Account Awarded Grants File	47422
Commerce, Department of	Main Street Solutions Fund Awarded Grants File	49923
Commerce, Department of	N.C. Board of Science and Technology Approved Small Grants File	1698
Commerce, Department of	North Carolina Film and Entertainment Grants File	50863
Commerce, Department of	OneNC Grants File	50862
Commerce, Department of	Rural Economic Development Community Development Block Grant (CDBG) Compliance File	17728
Commerce, Department of	Rural Grants Programs Awarded Grants File	50591
Golden Leaf Foundation	Program File	47707
Health and Human Services, Department of	Housing and Homelessness Section State Emergency Solutions Grants	50286
Natural and Cultural Resources, Department of	Clean Water Management Trust Fund Grants for Restoration, Stormwater, and Wastewater Projects File	49367
Natural and Cultural Resources, Department of	North Carolina Arts Council State Grants Final Reports	48307
Natural and Cultural Resources, Department of	State Historic Preservation Office Grants File	811
Public Safety, Department of	Governor’s Crime Commission Project File	721
Transportation, Department of	Powell Bill Eligibility File	3140
Treasurer, Department of State	Eliminating Health Disparities Initiative Project File	49817
Treasurer, Department of State	Tobacco Prevention and Cessation Initiatives Project File	49821

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

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
Treasurer, Department of State	Special Funds Records File	31259

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

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
Lottery Commission, North Carolina State	Bids File	49716

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.

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

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.

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.

6.1

RC No.	Record Types	Disposition Instructions	Citation
611.A	Campaign Reports – State Board of Elections 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 – Department of the Secretary of State 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 – Department of the Secretary of State 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-1	Elector Records (1 of 2) – Department of the Secretary of State Nominations filed with the Department of the Secretary of State	PERMANENT	<u>Authority</u> G.S. § 163-108(a)
614.P-2	Elector Records (2 of 2) – Office of the Governor Certificates of ascertainment prepared by the Office of the Governor for the Archivist of the United States	PERMANENT	<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.
 ‡ The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

RC No.	Record Types	Disposition Instructions	Citation
615.A	<p>Electoral Petitions – State Board of Elections</p> <p>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</p>	PERMANENT (archival) ∞	<p><u>Authority</u></p> <p>G.S. § 163-107.1 G.S. § 163-122 G.S. § 163-123 G.S. § 163-96(a)(2) G.S. § 163-213.5</p>
616.P	<p>Precinct Boundary Maps (1 of 2) – State Board of Elections</p> <p>Alterations to approved precinct boundaries as requested by county boards of elections and reviewed by the Executive Director of the State Board of Elections</p> <p><i>NOTE: In North Carolina, the General Assembly is responsible for drawing congressional as well as state legislative and judicial district lines.</i></p>	PERMANENT (appraisal required)	<p><u>Authority</u></p> <p>G.S. § 163-128</p>
616.2	<p>Precinct Boundary Maps (2 of 2) – State Board of Elections</p> <p>Proposed alterations to precinct boundaries that are rejected by the Executive Director of the State Board of Elections</p>	<p>RETAIN UNTIL: Rejection</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	
617.A	<p>State Abstracts of Votes – Department of the Secretary of State</p> <p>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</p>	PERMANENT (archival) ∞	
618.A	<p>Voting Rights Act Records – Administrative Office of the Courts, Department of Justice, State Board of Elections, State Board of Education, Department of the Secretary of State</p> <p>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</p>	PERMANENT (archival) ∞	<p><u>Authority</u></p> <p>G.S. § 120 Art. 6A</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.


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

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	Disposition Instructions	Citation
621.A	Awards – Office of the Governor Records concerning awards from the Office of the Governor	PERMANENT (archival) ∞	
622.A 	Clemency – Office of the Governor 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 – Office of the Governor, Office of the Lieutenant Governor 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 – Office of the Governor, Office of the Lieutenant Governor 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.

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


RC No.	Record Types	Disposition Instructions	Citation
625.A	<p>Executive Appointments – Office of the Governor, Office of the Lieutenant Governor</p> <p>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</p> <p>SEE ALSO: Appointments to Service, Governing and Advisory Body Member Files (below)</p>	PERMANENT (archival) ∞	
626.A	<p>Executive Orders, Disaster Declarations, and Proclamations – Office of the Governor</p> <p>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</p> <p>SEE ALSO: Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (archival) ∞	
627.A	 <p>Extraditions – Office of the Governor</p> <p>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</p>	PERMANENT (archival) ∞	<p><u>Confidentiality</u></p> <p>G.S. § 148-74 G.S. § 148-76 <i>Goble v. Bounds</i> (13 N.C. App. 579)</p>
628.A	<p>Intergovernmental and External Relations – Office of the Governor, Office of the Lieutenant Governor</p> <p>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</p>	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.

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

RC No.	Record Types	Disposition Instructions	Citation
629.A	<p>Legislative Management – Office of the Governor, Office of the Lieutenant Governor</p> <p>Records related to proposed and enacted legislative activities of the Offices of the Governor and Lieutenant Governor</p>	PERMANENT (archival) ∞	
6210.A	<p>Ombudsmen – Office of the Governor</p> <p>Records related to the work of the ombudsman in the Office of the Governor</p> <p>SEE ALSO: Improper Conduct Investigations (MONITORING AND COMPLIANCE)</p>	PERMANENT (archival) ∞	
6211.A	<p>Policy and Legal – Office of the Governor, Office of the Lieutenant Governor</p> <p> Records documenting the policies developed and enacted by the Offices of the Governor and Lieutenant Governor; also includes legal work of the offices</p>	PERMANENT (archival) ∞	<p><u>Confidentiality</u></p> <p>G.S. § 148-74 G.S. § 148-76 <i>Goble v. Bounds</i> (13 N.C. App. 579)</p>
6212.A	<p>Scheduling – Office of the Governor, Office of the Lieutenant Governor</p> <p>Schedules of the Governor, First Spouse, and Lieutenant Governor</p>	PERMANENT (archival) ∞	
6213.A	<p>Speeches, Press Releases, and Briefings – Office of the Governor, Office of the Lieutenant Governor</p> <p>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</p>	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.

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



RC No.	Record Types	Disposition Instructions	Citation
6214.A	<p>Strategic Planning and Initiatives – Office of the Governor and Office of the Lieutenant Governor</p> <p>Records related to the activities of the Offices of the Governor and Lieutenant Governor that document strategic planning and initiatives promoted by the administration</p>	PERMANENT (archival) ∞	

6.2

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

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.

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	Disposition Instructions	Citation
631.A	<p>Appointments to Service (1 of 3) – Department of the Secretary of State</p> <p>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</p> <p>SEE ALSO: Oaths of Office (below), Executive Appointments (above)</p>	PERMANENT (archival) ∞	<p><u>Authority</u></p> <p>G.S. § 143 Art. 2B</p>
631.1	<p>Appointments to Service (2 of 3)</p> <p>Records concerning appointments or reappointments issued by the agency</p> <p>SEE ALSO: Oaths of Office (below), Executive Appointments (above)</p>	<p>RETAIN UNTIL: Service ends</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
631.R	<p>Appointments to Service (3 of 3)</p> <p>Records related to selections of members; includes recommendations or nominations and other related records</p> <p>SEE ALSO: Oaths of Office (below), Executive Appointments (above)</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</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.

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

RC No.	Record Types	Disposition Instructions	Citation
632.P	<p>Charters and Bylaws</p> <p>Documents defining the formal organization and standing rules of governing bodies</p>	PERMANENT	
633.P	<p>Governing and Advisory Body Correspondence (1 of 2)</p> <p>Internal and external communications of board members related to decision-making, policy development, and other high-level planning</p> <p>SEE ALSO: Correspondence (AGENCY MANAGEMENT)</p>	PERMANENT (appraisal required) ∞	
633.3	<p>Governing and Advisory Body Correspondence (2 of 2)</p> <p>Transitory correspondence of board members</p> <p>SEE ALSO: Correspondence (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Received/Sent</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
634.1-1	<p>Governing and Advisory Body Member Files (1 of 4)</p> <p>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</p> <p>SEE ALSO: Executive Appointments (above)</p>	<p>RETAIN UNTIL: Service ends</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
634.1-2	<p>Governing and Advisory Body Member Files (2 of 4)</p> <p>Waivers from board members choosing not to receive stipend/per diem payments</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</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.

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

RC No.	Record Types	Disposition Instructions	Citation
634.P	Governing and Advisory Body Member Files (3 of 4) Historical biographical information on members; includes resumes/CVs and photographs	PERMANENT (appraisal required) ∞	
634.S	Governing and Advisory Body Member Files (4 of 4) Routine biographical information on members; includes resumes/CVs and photographs	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
635.P	Governing and Advisory Body Minutes (1 of 3) Approved minutes for governing or advisory bodies; includes minutes, attachments, and addenda	PERMANENT (appraisal required) ∞	<u>Authority</u> G.S. § 143-318.10(e)
635.<-1	Governing and Advisory Body Minutes (2 of 3) Agendas and other records related to planning meetings	RETAIN UNTIL: Approval of minutes THEN: Destroy	
635.<-2	Governing and Advisory Body Minutes (3 of 3) 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 – Department of the Secretary of State 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 SEE ALSO: Appointments to Service (above)	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.

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



RC No.	Record Types	Disposition Instructions	Citation
637.10	<p>Statements of Economic Interest (SEI) – State Ethics Commission</p> <p>Records concerning personal and financial interest disclosures filed with the State Ethics Commission by individuals covered under the State Government Ethics Act</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 138A-22</p>

6.3

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

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	Disposition Instructions	Citation
641.A	Administrative Code – Office of Administrative Hearings 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 – General Assembly Messages exchanged by the NC House of Representatives and the NC Senate	PERMANENT (archival) ∞	
643.P	Government Affairs Records (1 of 2) Records with historical significance produced in the course of liaising with other government officials regarding agency priorities	PERMANENT (appraisal required) ∞	
643.R	Government Affairs Records (2 of 2) Routine government affairs records; includes legislative liaisons	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.

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

RC No.	Record Types	Disposition Instructions	Citation
644.A	<p>House and Senate Proceedings – General Assembly</p> <p>a) 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</p> <p>b) Electronic recordings of daily sessions in the General Assembly</p>	PERMANENT (archival) ∞	<p><u>Authority</u></p> <p>G.S. § 120-27 G.S. § 120-29</p>
645.A	<p>Legislation – General Assembly, Department of the Secretary of State</p> <p>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</p>	PERMANENT (archival) ∞	
646.A	<p>Legislative Committee Records (1 of 2) – General Assembly</p> <p>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</p> <p>SEE ALSO: Reporting (AGENCY MANAGEMENT)</p>	PERMANENT (archival) ∞	
646.<	<p>Legislative Committee Records (2 of 2) – General Assembly</p> <p>Audio or video recordings of meetings</p> <p>SEE ALSO: Reporting (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Approval of minutes</p> <p>THEN: Destroy</p>	
647.A	<p>Petitions – General Assembly</p> <p>Original petitions delivered to the General Assembly</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS)</p>	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.

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



RC No.	Record Types	Disposition Instructions	Citation
648.A	<p>Roll Calls and Electronic Votes – General Assembly</p> <p>Records identifying members present and absent from General Assembly sessions and results of electronic voting</p>	PERMANENT (archival) ∞	
649.P	<p>Rule Making Proceedings</p> <p>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</p> <p><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></p> <p>SEE ALSO: Official Publications (PUBLIC RELATIONS)</p>	PERMANENT	<p><u>Authority</u></p> <p>G.S. § 150B-19.1</p> <p><u>Retention</u></p> <p>G.S. § 150B-21.2(i)</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.

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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
Elections, North Carolina State Board of	All Record Reports File	35816
Elections, North Carolina State Board of	Campaign Reports – North Carolina Candidates File	35814
Elections, North Carolina State Board of	Campaign Reports – North Carolina Database File	36744
Elections, North Carolina State Board of	Campaign Reports – North Carolina Financial Analysis File	21071
Elections, North Carolina State Board of	Campaign Reports – North Carolina General Political Committees (Since 1989) File	36745
Elections, North Carolina State Board of	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
Secretary of State, Department of the	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
Secretary of State, Department of the	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
Elections, North Carolina State Board of	Notice of Candidacy Filing File	3271
Elections, North Carolina State Board of	Petitions for New Parties File	3276
Elections, North Carolina State Board of	Petitions for Unaffiliated Candidate File	3273



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
Secretary of State, Department of the	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
Elections, North Carolina State Board of	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
Governor, Office of the	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
Governor, Office of the	Commutations File	33997
Governor, Office of the	Governor’s Clemency Office Miscellaneous Inmate Correspondence File	33999
Governor, Office of the	Governor’s Clemency Office Miscellaneous Inmate Correspondence (Death Row Cases) File	47828
Governor, Office of the	Juvenile Sentence Review Board File	50905
Governor, Office of the	Pardons File	34000

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
Governor, Office of the	Boards and Commissions Director’s Correspondence File	48944
Governor, Office of the	Chief of Staff Correspondence File	48701
Governor, Office of the	Correspondence File	48947
Governor, Office of the	Deputy Chief of Staff’s Correspondence File	46025
Governor, Office of the	First Spouse Executive Assistant’s Correspondence File	48694
Governor, Office of the	Gifts File	33946
Governor, Office of the	Inaugural Ball File	34950
Governor, Office of the	Press Office Director’s Correspondence File	48696
Lieutenant Governor, Office of the	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
Governor, Office of the	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
Governor, Office of the	Boards and Commissions Permanent File	3918
Governor, Office of the	Judicial Appointments File	47827
Governor, Office of the	Legislative Appointments File	50820
Lieutenant Governor, Office of the	Appointments File	2467

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.

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

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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.

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

Agency	Series Title	Item Number
Governor, Office of the	Washington D.C. Office File	47910
Governor, Office of the	Western Residence Board of Directors Minutes File	50440
Lieutenant Governor, Office of the	Boards and Commissions File	2466
Lieutenant Governor, Office of the	Senate Committee File	2469

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
Governor, Office of the	Council of State Governments File	21903
Governor, Office of the	Legislative Affairs Director’s Correspondence File	48928
Governor, Office of the	Legislative Bill Summaries File	47163
Lieutenant Governor, Office of the	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
Governor, Office of the	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
Governor, Office of the	Death Row Cases File	47826
Governor, Office of the	Ethics Officer File	48927
Governor, Office of the	Fiscal Affairs Policy and Issues File	47935
Governor, Office of the	Legal Counsel Director’s Correspondence File	48926
Governor, Office of the	Policy and Issues File	47209
Governor, Office of the	Policy Director’s Correspondence File	48691
Governor, Office of the	Senior Advisor to the Governor Correspondence File	48943
Governor, Office of the	Special Topics/Projects File	34001

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
Governor, Office of the	Governor’s Daily and Monthly Schedule File	33947
Governor, Office of the	Invitations (Accepted) File	34135
Governor, Office of the	Invitations (Declined) File	34136
Governor, Office of the	Invitations (Accepted and Declined) File	50912
Governor, Office of the	Invitations Pending (County Folder) File	50157
Governor, Office of the	Mansion Events File	48695
Governor, Office of the	Scheduling Spreadsheet File	34138
Lieutenant Governor, Office of the	Invitations (Accepts and Declines) File	14556
Lieutenant Governor, Office of the	Schedule File	14555

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



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
Governor, Office of the	Correction Performance Planning Group Minutes File	37871
Governor, Office of the	Council of State Minutes File	3590
Governor, Office of the	Cultural Resources Performance Planning Group Minutes File	37872
Governor, Office of the	Economic Development and Commerce Performance Planning Group Minutes File	37873
Governor, Office of the	Education Cabinet File	45669
Governor, Office of the	Education Office Director’s Correspondence File	48941
Governor, Office of the	Education Performance Planning Group Minutes File	37874
Governor, Office of the	First Spouse’s Events File	46010
Governor, Office of the	First Spouse’s Initiatives File	34951
Governor, Office of the	Funded Programs File	47415
Governor, Office of the	General Government Performance Planning Group File	37876
Governor, Office of the	Governor’s Education Program File	35000
Governor, Office of the	Governor’s Teacher Advisory Committee	45672
Governor, Office of the	Health and Safety Performance Planning Group Minutes File	37877
Governor, Office of the	Justice Performance Planning Group Minutes File	37878
Governor, Office of the	N.C. Commission on Volunteerism and Community Service Executive Director’s Correspondence File	47411
Governor, Office of the	N.C. Commission on Volunteerism and Community Service Grant Award/Extension Correspondence File	47412
Governor, Office of the	Governor’s Advisory Council on Hispanic/Latino Affairs Chronological File	46134
Governor, Office of the	Governor’s Advisory Council on Hispanic/Latino Affairs Director’s Correspondence File	48692
Governor, Office of the	Governor’s Advisory Council on Hispanic/Latino Affairs Subject File	46135
Governor, Office of the	Office of State Planning Appalachian Regional Commission (ARC) Grants File	37870
Governor, Office of the	Policies, Procedures, and Guidelines File	37879
Governor, Office of the	Volunteerism and Community Service Reports File	47416
Governor, Office of the	Social and Economic Well-Being Performance Planning Group Minutes File	37881
Governor, Office of the	Transportation Performance Planning Group Minutes File	37882
Governor, Office of the	Volunteerism File	48942

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Agency	Series Title	Item Number
Lieutenant Governor, Office of the	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
General Assembly	Senate Appointments and Confirmation File	1510
General Assembly	House of Representatives Resignations and Appointments File	34938
Secretary of State, Department of the	Appointments File	16289

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
Adult Correction, Department of	Post-Release Supervision and Parole Commission Chairman’s Correspondence File	10366
Adult Correction, Department of	Inmate Grievance Resolution Board Director’s Correspondence File	660
Education, North Carolina State Board of	Chairman’s Correspondence File	47529
Elections, North Carolina State Board of	County Boards of Elections Correspondence File	3267
Public Safety, Department of	Governor's Crime Commission Executive Director’s Correspondence File	48426

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
Addictions Specialist Professional Practice Board, North Carolina	Minutes File	49668
Administration, Department of	Domestic Violence Commission Minutes File	49914
Administration, Department of	Martin Luther King, Jr. Commission Minutes File	49560
Administration, Department of	North Carolina Council for Women and Youth Involvement Minutes File	4029
Administration, Department of	North Carolina Internship Council Minutes File	49953
Administration, Department of	State Building Commission Minutes File	32
Administration, Department of	State Youth Advisory Council Minutes File	11536
Administrative Hearings, Office of	Human Relations Commission Minutes File	11040
Adult Correction, Department of	Post-Release Supervision and Parole Commission Minutes File	50309
Agriculture and Consumer Services, Department of	Gasoline and Oil Inspection Board Minutes File	50305
Agriculture and Consumer Services, Department of	North Carolina Agricultural Finance Authority Minutes File	50830
Agriculture and Consumer Services, Department of	N.C. Plant Conservation Board Minutes File	35564
Agriculture and Consumer Services, Department of	Soil and Water Conservation Commission Minutes File	2735
Agriculture and Consumer Services, Department of	Soil and Water Conservation District Records File	2739
Agriculture and Consumer Services, Department of	Tobacco Trust Fund Commission Minutes File	49239
Barber and Electrolysis Examiners, North Carolina Board of	Minutes File	50910
Cemetery Commission, North Carolina	Minutes File	3987
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
Commerce, Department of	Morehead City Navigation and Pilotage Commission (MCNPC) Minutes File	12412
Commerce, Department of	N.C. Board of Science, Technology, and Innovation Minutes File	19685
Commerce, Department of	N.C. Seafood Industrial Park Authority Minutes File	14982
Commerce, Department of	NCWorks Commission Minutes File	48068

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Agency	Series Title	Item Number
Commerce, Department of	Rural Electrification Authority (REA) Minutes File	4030
Commerce, Department of	Rural Infrastructure Authority File	50587
Commerce, Department of	Tax Reform Allocation Committee (TRAC) Minutes File	48383
Community College System, North Carolina	Apprenticeship Council Minutes File	2449
Community College System, North Carolina	State Board of Community Colleges Minutes File	3524
Counselors, North Carolina Board of Licensed Clinical Mental Health	Minutes File	48357
Dental Examiners, North Carolina State Board of	Minutes File	21940
Economic Development Partnership of North Carolina	Economic Development Partnership Board File	14771
Elections, North Carolina State Board of	Minutes File	3280
Electrical Contractors, State Board of Examiners of	Minutes File	20049
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	Coastal Resources Commission (CRC) Minutes File	4112
Environmental Quality, Department of	Division of Air Quality Scientific Advisory Board File	34028
Environmental Quality, Department of	Energy Policy Council Minutes File	478
Environmental Quality, Department of	Environmental Management Commission Minutes File	2979
Environmental Quality, Department of	Marine Fisheries Commission Minutes File	17512
Environmental Quality, Department of	Oil and Gas Commission Minutes File	50306
Environmental Quality, Department of	Sedimentation Control Commission Minutes File	4102
Environmental Quality, Department of	State Water Infrastructure Authority Minutes	50860
Equal Access to Justice Commission	Minutes File	49781
Ethics Commission, North Carolina State	General Account of Closed Sessions File	3888
Ethics Commission, North Carolina State	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

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Agency	Series Title	Item Number
Health and Human Services, Department of	Commission for the Blind Minutes File	6473
Health and Human Services, Department of	Commission of Anatomy Minutes File	48903
Health and Human Services, Department of	Medical Care Commission Minutes File	1709
Health and Human Services, Department of	North Carolina Board of Employee Assistance Professionals Minutes File	50307
Health and Human Services, Department of	Social Services Commission Minutes File	2133
Health and Human Services, Department of	State Health Coordinating Council Minutes File	7720
Health and Human Services, Department of	Vocational Rehabilitation Council Minutes File	46032
Health and Human Services, Department of	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
Human Resources, Office of State	State Human Resources Commission Minutes File	166
Indian Housing Authority, North Carolina	Minutes File	50308
Indigent Defense Services, North Carolina Office of	Commission on Indigent Defense Services Minutes File	50828
Information Technology, Department of	Criminal Justice Information Network Governing Board Minutes File	50013
Information Technology, Department of	North Carolina Geographic Information Coordinating Council Minutes File	36011
Information Technology, Department of	North Carolina 911 Board Minutes File	50756
Insurance, Department of	Code Official Qualifications Board Minutes File	10167
Insurance, Department of	Fire and Rescue Commission Minutes File	24011
Insurance, Department of	Home Inspector Licensure Board Minutes File	45724
Insurance, Department of	North Carolina Building Code Council Minutes File	3523
Insurance, Department of	North Carolina Manufactured Housing Board Minutes File	24019
Insurance, Department of	Public Officers and Employees Liability Insurance Commission Minutes File	23999
Interpreter and Transliterator Licensing Board, North Carolina	Minutes File	50812
Irrigation Contractors' Licensing Board, North Carolina	Minutes File	50744
Judicial Standards Commission, North Carolina	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

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Agency	Series Title	Item Number
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
Natural and Cultural Resources, Department of	African-American Heritage Commission Minutes File	49912
Natural and Cultural Resources, Department of	Clean Water Management Trust Fund Board of Trustees Minutes File	49895
Natural and Cultural Resources, Department of	North Carolina Arts Council Minutes File	3588
Natural and Cultural Resources, Department of	North Carolina Historical Commission File	13031
Natural and Cultural Resources, Department of	North Carolina Parks and Recreation Authority Minutes File	35168
Natural and Cultural Resources, Department of	North Carolina Symphony Society Minutes File	18695
Natural and Cultural Resources, Department of	Roanoke Island Commission Minutes File	49894
Natural and Cultural Resources, Department of	State Historical Records Advisory Board (SHRAB) Minutes File	47241
Natural and Cultural Resources, Department of	U.S.S. North Carolina Battleship Commission Minutes File	35706
Nursing, North Carolina Board of	Midwifery Joint Committee Minutes File	43799
Nursing, North Carolina Board of	Minutes of the Board of Nursing File	21005
Nursing Home Administrators, North Carolina Board of Examiners for	Minutes File	4117
Occupational Safety and Health Review Commission	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

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Agency	Series Title	Item Number
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
Public Instruction, Department of	North Carolina Center for the Advancement of Teaching (NCCAT) Board of Trustees Minutes File	49995
Public Instruction, Department of	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
Public Safety, Department of	IT Division Advisory Policy Board Minutes File	22755
Public Safety, Department of	North Carolina Alcoholic Beverage Control Commission Minutes File	315
Public Safety, Department of	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
Secretary of State, Department of the	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 Treasurer, Office of the	ABLE Program Board of Trustees Minutes File	50908
State Treasurer, Office of the	Firefighters’ and Rescue Squad Workers’ Pension Fund Advisory Panel Minutes File	50907
Transportation, Department of	Board of Transportation Minutes File	4003
Transportation, Department of	Global Transpark Authority Minutes File	50310

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Agency	Series Title	Item Number
Transportation, Department of	Turnpike Authority Board Minutes File	49092
Treasurer, Department of	Investment Advisory Committee Minutes File	16223
Treasurer, Department of	Local Government Commission Minutes File	16361
Treasurer, Department of	N.C. Capital Facilities Finance Agency Minutes File	31949
Treasurer, Department of	N.C. Solid Waste Management Capital Projects Financing Agency Minutes File	31950
Treasurer, Department of	Retirement Systems Board of Trustees Minutes File	16274
Treasurer, Department of	State Health Plan Board of Trustees Minutes File	20797
Treasurer, Department of	Supplemental Retirement Board of Trustees Minutes File	48647
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
Administration, Department of	Governor’s Council on Historically Underutilized Businesses	50097
Administration, Department of	License to Give Trust Fund Commission Minutes File	49989
Administration, Department of	North Carolina Capital Planning Commission Minutes File	11305
Administration, Department of	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
Agriculture and Consumer Services, Department of	Food Processing Innovation Center Committee Minutes File	50822
Agriculture and Consumer Services, Department of	Forestry Council Minutes File	50312
Agriculture and Consumer Services, Department of	Industrial Hemp Commission Minutes File	50823
Agriculture and Consumer Services, Department of	North Carolina Agricultural Task Force Minutes File	17303
Agriculture and Consumer Services, Department of	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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Agency	Series Title	Item Number
Community College System, North Carolina	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, North Carolina Licensing Board for	Minutes File	21837
Health and Human Services, Department of	Advisory Committee on Cancer Coordination and Control (ACCCC) Minutes File	50347
Health and Human Services, Department of	Child Care Commission Minutes File	7754
Health and Human Services, Department of	Commission for Mental Health, Developmental Disabilities, and Substance Abuse Services Minutes File	1887
Health and Human Services, Department of	Council for the Deaf and the Hard of Hearing Minutes File	49009
Health and Human Services, Department of	Council on Development Disabilities Minutes File	1586
Health and Human Services, Department of	Council on Sickle Cell Syndrome Minutes File	33635
Health and Human Services, Department of	Diabetes Advisory Council Minutes File	49093
Health and Human Services, Department of	Emergency Medical Services Advisory Council Minutes File	3511
Health and Human Services, Department of	Governor’s Advisory Council on Aging Minutes File	1627
Health and Human Services, Department of	Minority Health Advisory Council Minutes File	49095
Health and Human Services, Department of	North Carolina Radiation Protection Commission (NCRPC) Minutes File	1746
Health and Human Services, Department of	Justus-Warren Heart Disease and Stroke Prevention Task Force Minutes File	49094
Health and Human Services, Department of	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
Justice, Department of	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
Natural and Cultural Resources, Department of	North Carolina Awards Committee Minutes File	49884
Natural and Cultural Resources, Department of	North Carolina Museum of Art Board of Trustees Minutes File	3451
Natural and Cultural Resources, Department of	North Carolina Natural Science Museum Advisory Board Minutes File	37404
Natural and Cultural Resources, Department of	North Carolina Zoological Park Council Minutes File	23673

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Agency	Series Title	Item Number
Natural and Cultural Resources, Department of	State Library Commission Minutes File	904
Natural and Cultural Resources, Department of	Tryon Palace Commission Minutes File	835
Pharmacy, North Carolina Board of	Minutes File	4031
Public Instruction, Department of	Council on Educational Services for Exceptional Children (CESEC) Committee Minutes File	31960
Public Instruction, Department of	North Carolina Charter Schools Advisory Board Minutes File	50014
Public Instruction, Department of	North Carolina Council for the Interstate Compact on Educational Opportunity for Military Children Minutes File	49561
Public Instruction, Department of	North Carolina Professional Educator Preparation and Standards Commission Minutes File	47009
Public Instruction, Department of	North Carolina Textbook Commission Minutes File	46107
Public Instruction, Department of	State Advisory Council on Indian Education Minutes File	49562
Public Instruction, Department of	Task Force for Safer Schools Minutes File	50348
Secretary of State, Department of the	Electoral College Meeting Minutes File	50839
Secretary of State, Department of the	Electronic Recording Council Minutes File	50838
Secretary of State, Department of the	Land Records Advisory Committee Minutes File	10917
Secretary of State, Department of the	Secretary of State’s Advisory Council on Legislative Lobbying Policy and Regulation	50840
Speech Language Pathologists and Audiologists, North Carolina 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
Adult Correction, Department of	Inmate Grievance Resolution Board Minutes File	10297
Agriculture and Consumer Services, Department of	Agricultural Development and Farmland Preservation Trust Fund Advisory Committee Minutes File	50356
Agriculture and Consumer Services, Department of	N.C. Board of Agriculture Minutes File	23997
Agriculture and Consumer Services, Department of	North Carolina Pesticide Board and Advisory Committee Minutes File	9076
Agriculture and Consumer Services, Department of	Structural Pest Control Committee Minutes File	9152
Public Safety, Department of	Alarm Systems Licensing Board Minutes File	39699
Public Safety, Department of	Governor’s Crime Commission: Juvenile Justice Planning Committee Minutes File	49563
Public Safety, Department of	Private Protective Services Board Minutes File	39715

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
Administration, Department of	North Carolina Advisory Council on the Eastern Band of the Cherokee Minutes File
Administration, Department of	North Carolina State Commission of Indian Affairs Minutes File
Adult Correction, Department of	Correctional Facility Community Resource Councils Minutes File
Agriculture and Consumer Services, Department of	Animal Disease Diagnostic Laboratory Advisory Committee Minutes File
Architecture and Registered Interior Designers, North Carolina Board of	Minutes File
Athletic Trainer Examiners, North Carolina Board of	Minutes File
Auctioneer Commission, North Carolina	Minutes File
Banks, North Carolina Office of the Commissioner of	Banking Commission Meeting Records File Minutes of the Advisory Commission and Orders of the Commissioner of Banks File
Boxing and Combat Sports Commission, North Carolina	Minutes File



Agency	Series Title
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, North Carolina	Minutes File
District Attorneys, North Carolina Conference of	Executive Committee Minutes File
Environmental Quality, Department of	Coastal Resources Advisory Council Minutes File
Health and Human Services, Department of	Commission for Public Health Minutes File
Health and Human Services, Department of	Interagency Committee on Low-Level Radioactive Waste Minutes File
Health and Human Services, Department of	Interagency Coordinating Council for Children from Birth to Five with Disabilities and Their Families Minutes File
Health and Human Services, Department of	North Carolina Refugee Assistance Program Minutes File
Health and Human Services, Department of	Opioid and Prescription Drug Abuse Advisory Council Minutes File
Justice, Department of	Forensic Science Advisory Board Minutes File
Law Examiners of the State of North Carolina, 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
Natural and Cultural Resources, Department of	Local North Carolina Aquarium Advisory Committees Minutes File
Natural and Cultural Resources, Department of	N.C. Highway Historical Marker Advisory Committee File
Natural and Cultural Resources, Department of	North Carolina Trails Committee Minutes File
Natural and Cultural Resources, Department of	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
Public Instruction, Department of	North Carolina Governor's School Board of Governors Minutes File
Public Instruction, Department of	State Accreditation Committee Minutes File
Public Safety, Department of	Governor's Crime Commission: Crime Victims' Services Committee Minutes File
Public Safety, Department of	North Carolina Advisory Committee on Religious Ministry in Prisons Minutes File
Public Safety, Department of	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



Agency	Series Title
Wildlife Resources Commission	Beaver Damage Control Advisory Board Minutes File
Wildlife Resources Commission	Nongame Advisory Committee Minutes File
Wildlife Resources Commission	Outdoor Heritage Advisory Council Minutes File

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
General Assembly	House of Representatives Oaths of Office Ledgers File	1489
General Assembly	Senate Oaths of Office Ledger File	4129
Secretary of State, Department of the	Handwritten Listing of Oaths of Office File	15609
Secretary of State, Department of the	Oaths of Office File	2906

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
Ethics Commission, North Carolina State	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
Administrative Hearings, Office of	North Carolina Administrative Code History File	3680

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	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

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
Administration, Department of	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
General Assembly	House of Representatives Legislative Procedures File	1492
General Assembly	Senate Daily Legislative Session Audio Recordings File	1511
Secretary of State, Department of the	House Journals File	3673
Secretary of State, Department of the	Senate Journals File	3674

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
General Assembly	Bill Books File	25890
General Assembly	Bill Status Printouts File ¹	1495
General Assembly	Bills/Resolutions Not Enrolled File	1507
General Assembly	Failed to Pass Bills File	1491
General Assembly	Senate Legislative Card Index File	1514
Secretary of State, Department of the	Passed House Bills, Senate Bills, and Resolutions File	2899
Secretary of State, Department of the	Ratified Acts and Resolutions File	15607

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.

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

¹ Transfer paper records to the State Records Center after 2 years to be microfilmed for permanent security storage. 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
General Assembly	Senate Roll Calls and Electronic Votes File	1509

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]), the Department of Adult Correction (DAC), and the Division of Juvenile Justice and Delinquency Prevention (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](#).

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

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	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 Facility policies and procedures to align with the requirements of the Health Insurance Portability and Accountability Act (HIPAA) SEE ALSO: Agency Policies (AGENCY MANAGEMENT), Contracts (LEGAL)	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 – Department of Health and Human Services 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

* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
715.10 	Performance Improvement and Quality Assurance Records (1 of 2) 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)
715.3	Performance Improvement and Quality Assurance Records (2 of 2) 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 (1 of 2) Schedules for medical personnel including physicians, medical aides, nursing staff, and other support personnel who provide medical treatment SEE ALSO: Daily Staffing Records , Float Rosters (below)	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy*	
717.S 	Scheduling Records (2 of 2) Lists of all patients seen or scheduled to be seen by medical personnel and labs SEE ALSO: Daily Staffing Records , Float Rosters (below)	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.






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

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.

7.2



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

RC No.	Record Types	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 (1 of 2) 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)

* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
725.3 	Patient Financial Records (2 of 2) 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.


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

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 Department of Adult Correction and Division of Juvenile Justice and Delinquency Prevention.

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, DAC, 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.

RC No.	Record Types	Disposition Instructions	Citation
731.P	<p>Admission/Discharge/Transfer Reports</p> <p>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</p>	PERMANENT	<p><u>Retention</u></p> <p>APSM 45-3, p.126</p>
732.11-1	<p> Adult Clinical Records (1 of 3)</p> <p>Patient clinical records for adults admitted to a hospital or seen at an outpatient clinic</p> <p><i>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</i></p>	<p>RETAIN UNTIL: Last encounter</p> <p>PLUS: 11 years Ω</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>10A NCAC 13B .3903(d) 10A NCAC 28F .0605 14B NCAC 11C .0404(a)</p> <p><u>Confidentiality</u></p> <p>G.S. § 122C-52 14B NCAC 11C .0404(b)</p> <p><u>Retention</u></p> <p>10A NCAC 13B .3903(a)</p>

* 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.



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

RC No.	Record Types	Disposition Instructions	Citation
<p>732.11-2</p> 	<p>Adult Clinical Records (2 of 3)</p> <p>Resident clinical records for adults diagnosed with intellectual disabilities</p> <p><i>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</i></p>	<p>RETAIN UNTIL: Death of client</p> <p>PLUS: 11 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>10A NCAC 13B .5204 10A NCAC 28F .0605</p> <p><u>Confidentiality</u></p> <p>G.S. § 122C-52</p>
<p>732.5</p> 	<p>Adult Clinical Records (3 of 3)</p> <p>Resident clinical records for adults admitted to a nursing facility</p> <p><i>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</i></p>	<p>RETAIN UNTIL: Last encounter</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>10A NCAC 13D .2401 10A NCAC 28F .0605</p> <p><u>Confidentiality</u></p> <p>G.S. § 122C-52</p> <p><u>Retention</u></p> <p>10A NCAC 13D .2402(a)</p>
<p>733.5</p>	<p>Central Sterile Supply Records</p> <p>Records concerning the proper functioning of autoclave equipment; includes mechanical, chemical, and biological monitor notebooks and sterilizer logs and tests</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
<p>734.6</p>	<p>Correspondence Log</p> <p>Logs and records detailing patient-related correspondence that is not part of the clinical record</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 6 years</p> <p>THEN: Destroy</p>	

* 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.



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

RC No.	Record Types	Disposition Instructions	Citation
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.<-1 	Pediatric Clinical Records (1 of 3) Patient clinical records for those from birth to 18 years of age admitted to a hospital or seen at an outpatient clinic <i>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</i>	RETAIN UNTIL: Patient reaches age 30 Ω 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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>737.<-2</p> 	<p>Pediatric Clinical Records (2 of 3)</p> <p>Resident clinical records for those from birth to 18 years of age diagnosed with intellectual disabilities</p> <p><i>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</i></p>	<p>RETAIN UNTIL: Death of client</p> <p>THEN: Destroy*</p> <p><i>NOTE: Records must be retained 11 years after last encounter</i></p>	<p><u>Authority</u></p> <p>10A NCAC 13B .5204 10A NCAC 28F .0605</p> <p><u>Confidentiality</u></p> <p>G.S. § 122C-52</p>
<p>737.4</p> 	<p>Pediatric Clinical Records (3 of 3)</p> <p>Resident clinical records for those from birth to 18 years of age admitted to a nursing facility</p> <p><i>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</i></p>	<p>RETAIN UNTIL: Last encounter</p> <p>PLUS: 4 years</p> <p>THEN: Destroy*</p> <p><i>NOTE: Records must be retained until the patient reaches 19 years of age in addition to this minimum time requirement</i></p>	<p><u>Authority</u></p> <p>10A NCAC 13D .2401 10A NCAC 28F .0605</p> <p><u>Confidentiality</u></p> <p>G.S. § 122C-52</p> <p><u>Retention</u></p> <p>10A NCAC 13D .2402(b)</p>
<p>738.<</p>	<p>Transcription Logs</p> <p>Logs detailing transcription activities for physicians' notes</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 6 months</p> <p>THEN: Destroy</p>	

* 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.




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

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).

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



7.4

RC No.	Record Types	Disposition Instructions	Citation
741.P 	Communicable Disease Records (1 of 3) – Department of Health and Human Services 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 <u>Confidentiality</u> G.S. § 130A-143 42 USC 1320d-2(d)(2)
741.< 	Communicable Disease Records (2 of 3) – Department of Health and Human Services 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>Authority</u> 10A NCAC 41A .0101 <u>Confidentiality</u> G.S. § 130A-143 42 USC 1320d-2(d)(2)
741.5 	Communicable Disease Records (3 of 3) – Department of Health and Human Services 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	<u>Authority</u> 10A NCAC 41A .0101 <u>Confidentiality</u> G.S. § 130A-143 42 USC 1320d-2(d)(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.

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

RC No.	Record Types	Disposition Instructions	Citation
742.10	<p>Environmental Sciences Testing Records (1 of 2) – Department of Health and Human Services</p> <p>Records accumulated by the Department of Health and Human Services concerning the analysis of environmental samples for radioisotope presence</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
742.5	<p>Environmental Sciences Testing Records (2 of 2) – Department of Health and Human Services</p> <p>Records accumulated by the Department of Health and Human Services concerning the bacteriologic, chemical, and fluoride analyses of water samples</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
743.2	<p>Health Monitoring Programs – Department of Health and Human Services</p> <p> Records accumulated by the Department of Health and Human Services about chronic disease and other health issues; includes incidence reporting and other surveillance methods</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 130A-131.17</p> <p>G.S. § 130A-212</p> <p>G.S. § 130A-374</p> <p>G.S. § 130A-476(e)</p> <p>G.S. § 130A-480(b)</p> <p>10A NCAC 47B .0103</p> <p>10A NCAC 47C .0105</p>
744.P	<p>Immunization Registry (NCIR) – Department of Health and Human Services</p> <p> Records accumulated by the Department of Health and Human Services regarding immunizations administered in North Carolina</p>	<p>PERMANENT</p>	<p><u>Authority</u></p> <p>G.S. § 130A-153</p>

* 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.


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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.

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.




7.5

RC No.	Record Types	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 	Autopsy Records (1 of 2) – Department of Health and Human Services a) Microscopic slides, paraffin blocks, and x-rays produced by/for the Office of the Chief Medical Examiner b) Reports, photographs, and video or audio recordings of autopsies 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 <u>Confidentiality</u> G.S. § 130A-389(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.

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

RC No.	Record Types	Disposition Instructions	Citation
754.10 	<p>Blood Bank Records (1 of 3)</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p> <p><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></p>	<p><u>Authority</u></p> <p>21 CFR 606.160 21 CFR 606.165 21 CFR 606.170</p> <p><u>Confidentiality</u></p> <p>G.S. § 131E-97</p> <p><u>Retention</u></p> <p>21 CFR 606.160(d)</p>
754.P	<p>Blood Bank Records (2 of 3)</p> <p>Records concerning blood products with no expiration date</p>	PERMANENT	
754.<	<p>Blood Bank Records (3 of 3)</p> <p>Records used to identify unsuitable donors so that their blood products will not be distributed</p>	<p>RETAIN UNTIL: Death of donor</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>21 CFR 606.160(e)</p>
755.10 	<p>Cytology Records (1 of 2)</p> <p>Fine needle aspiration slides</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
755.5 	<p>Cytology Records (1 of 2)</p> <p>Stained slides; includes both negative/unsatisfactory and positive/suspicious samples</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	

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

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

RC No.	Record Types	Disposition Instructions	Citation
756.P	Laboratory Register (1 of 3) Log of laboratory tests performed for clinical care	PERMANENT	
756.5	Laboratory Register (2 of 3) Newborn screening collection forms	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
756.2	Laboratory Register (3 of 3) 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)
758.2-1	Quality Control (1 of 2) 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)

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

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

RC No.	Record Types	Disposition Instructions	Citation
758.2-2	<p>Quality Control (2 of 2) Method validation and performance verification studies</p>	<p>RETAIN UNTIL: Test system discontinued PLUS: 2 years THEN: Destroy <i>NOTE: These records must be retained at least 2 years</i></p>	<p><u>Retention</u> 42 CFR 493.1105(a)(3)</p>
759.2	<p>Test Procedures Standard operating procedures and policies related to lab testing</p>	<p>RETAIN UNTIL: Discontinued PLUS: 2 years THEN: Destroy</p>	<p><u>Retention</u> 42 CFR 493.1105(a)(2)</p>
7510.4	<p>Toxicology Records – Department of Health and Human Services 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</p>	<p>RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy</p>	

* 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.

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



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, DAC, 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	Disposition Instructions	Citation
761.11 	<p>Cardiac Catheter Records (1 of 2)</p> <p>Tests on coronary arteries of adult patients; includes film and electronic images produced during procedure</p> <p>SEE ALSO: Adult Clinical Records, Pediatric Clinical Records (above)</p>	<p>RETAIN UNTIL: Last encounter</p> <p>PLUS: 11 years</p> <p>THEN: Destroy*</p>	
761.< 	<p>Cardiac Catheter Records (2 of 2)</p> <p>Tests on coronary arteries of pediatric patients; includes film and electronic images produced during procedure</p> <p>SEE ALSO: Adult Clinical Records, Pediatric Clinical Records (above)</p>	<p>RETAIN UNTIL: Patient reaches age 30</p> <p>THEN: Destroy*</p> <p><i>NOTE: Records must be retained 11 years after last encounter</i></p>	
762.3	<p>Daily Statistical Sheets and Logs</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	

* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>763.5</p> 	<p>Imaging Services and Radiographic Records</p> <p>Nuclear medicine exams and imaging diagnostic tests, including CAT scans, MRI scans, and x-rays; includes film and electronic images produced during tests</p>	<p>RETAIN UNTIL: Last encounter</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	

7.6

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

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

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	Disposition Instructions	Citation
771.1	<p>Call-In Reports – Department of Health and Human Services</p> <p>Records concerning ambulance reports generated when the ambulance is used to transport a Division of State Operated Healthcare Facilities patient; includes ambulance run reports</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
772.5	<p>Daily Staffing Records</p> <p>Assignments sheets specifying nurses' floor assignments; includes nurses' names and numbers of patients seen</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
773.5	<p>Emergency Department Log</p> <p>Records concerning individuals receiving services in the emergency department</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
774.5	<p>Emergency Equipment Checklists</p> <p>Checklists regarding equipment reliability on the code cart</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
775.R	<p>Float Rosters</p> <p>Lists of nurses sent to other units within the facility; includes nurse's name, unit sent to, hours worked, and time spent</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Facility Policy: _____</p>	

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

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



RC No.	Record Types	Disposition Instructions	Citation
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*	
778.R	Private Duty Call Lists Lists of patient sitters	RETAIN UNTIL: Reference value ends ± THEN: Destroy Facility Policy: _____	

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

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

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	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 (1 of 2) Pharmaceutical waste manifests	PERMANENT	<u>Retention</u> DHHS Pharmaceutical Waste Policy
782.3	Drug Disposal Records (2 of 2) 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)

* 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.



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

RC No.	Record Types	Disposition Instructions	Citation
784.3	<p>Drug Inventories</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>21 NCAC 46 .1414(j)(6)</p>
785.10	<p>Insurance Claim Records (1 of 2)</p> <p>Medicaid and Medicare Part D medication and billing records; includes electronic records used to maintain billing</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>42 CFR 422.504(d)</p>
785.3	<p>Insurance Claim Records (2 of 2)</p> <p>Insurance claim forms, confirmation or denial reports, remittance and status reports, and other related records submitted by pharmacies for reimbursement</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
786.3	<p>Medication Storage and Environment Inspection Reports</p> <p>Results of medication storage areas inspected on a routine basis; also includes intravenous hood performance reports</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
787.< 	<p>Patient Medication Profile</p> <p>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)</p>	<p>RETAIN UNTIL: Patient is no longer active at facility</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 90-113.74</p>

* 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.

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RC No.	Record Types	Disposition Instructions	Citation
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
789.3-1	Schedule II, III, IV, and V Narcotics Records (1 of 2) 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 	Schedule II, III, IV, and V Narcotics Records (2 of 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

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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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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	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 – Department of Health and Human Services 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.

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

7.10 Utilization Review Records

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

7.10

RC No.	Record Types	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

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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

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

Appendix

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

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.

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

737.< Pediatric Clinical Records: Transfer records to the State Records Center when juvenile reaches 18 years of age. Records will be held for agency 12 additional years and then destroyed.

Agency	Series Title	Item Number
Public Safety, Department of	Juvenile Offender Medical Records	50909

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



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.

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

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](#).

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 - 856 [Payroll](#)
 - 857 [Salary Changes](#)
 - 858 [Shift Premium Pay](#)
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- 8.6 [Personnel Management](#)
 - 861 [Administrative Records](#)
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 - 8610 [Employment Eligibility Verification](#)
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 - 8612 [Grievances](#)
 - 8613 [Occupational Safety and Health Administration \(OSHA\) Records](#)
 - 8614 [Personnel Action Requests](#)
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 - 8616 [Seasonal and Contract Worker Records](#)
 - 8617 [Workers' Compensation Program Administration](#)
- 8.7 [Position Management](#)
 - 871 [Abolished Positions](#)

- 872 [Applicant Flow Records](#)
- 873 [Applications for Employment](#)
- 874 [Hiring Packages](#)
- 875 [Position Control](#)
- 876 [Position Descriptions](#)
- 877 [Position Evaluations](#)
- 878 [Position History](#)
- 879 [Recruitment Records](#)

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](#)

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

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	Disposition Instructions	Citation
811.3 	Complaints (1 of 3) Complaints lodged against personnel that are resolved without an internal investigation	RETAIN UNTIL: Resolution PLUS: 3 years THEN: Destroy*	
811.5-1 	Complaints (2 of 3) Complaints lodged against personnel that are exonerated	RETAIN UNTIL: Final disposition PLUS: 5 years THEN: Destroy*	
811.5-2 	Complaints (3 of 3) 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.


RC No.	Record Types	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 (1 of 2) 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.< 	Leave File (2 of 2) 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	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.⁴</i>

⁴ <https://canons.sog.unc.edu/are-local-government-employee-time-sheets-public-records-applying-the-framework-for-answering-questions-about-public-records-requests/>

* 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	Disposition Instructions	Citation
<p>828.1</p> 	<p>Work Schedules</p> <p>Records concerning shift and duty assignments</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	





* 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.

8.3 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	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 – Department of State Treasurer 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 (1 of 2) Short-term disability claims forms and other related records	RETAIN UNTIL: Employee returns or separates PLUS: 3 years THEN: Destroy*	
833.3-2	 Disability Claims (2 of 2) – Department of State Treasurer 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*	

* 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	Disposition Instructions	Citation
835.6 	Enrollment Forms – Department of State Treasurer 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)
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 (1 of 5) 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 	Retirement Records (2 of 5) Records concerning payment of deferred compensation	RETAIN UNTIL: Payment PLUS: 3 years THEN: Destroy*	
837.7 	Retirement Records (3 of 5) 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 	Retirement Records (4 of 5) – Department of State Treasurer Annual benefit statements provided to retirement system members by the Department of State Treasurer	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> G.S. § 128-33.1(f) G.S. § 135-6.1(f)

* 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	Disposition Instructions	Citation
<p>837.100</p> 	<p>Retirement Records (5 of 5) – Department of State Treasurer</p> <p>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</p>	<p>RETAIN UNTIL: Member joins</p> <p>PLUS: 100 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 128-33.1(f)</p> <p>G.S. § 135-6.1(f)</p> <p>G.S. § 132-1.10</p> <p>5 USC 552a</p>
<p>838.3</p>	<p>Unemployment Insurance – Department of Commerce</p> <p>Forms submitted to the Department of Commerce to report wage records of terminated employees</p> <p>SEE ALSO: Unemployment Insurance Records (PUBLIC ASSISTANCE AND SUPPORT SERVICES)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	





* 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	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	<i>NOTE: specific citation for criminal record checks can be found in agency's enabling legislation</i>
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	Disposition Instructions	Citation
<p>845.3</p> 	<p>Performance Management Records Records concerning employees' work plans; includes goals, tasks, values, and performance evaluations</p>	<p>RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy</p>	<p><u>Confidentiality</u> G.S. § 124-24 25 NCAC 01O .0113(a) <u>Retention</u> 25 NCAC 01O .0113(d) <i>NOTE: Only performance evaluations are confidential</i></p>
<p>846.2</p>	<p>Service Awards Records concerning employees receiving awards</p>	<p>RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy</p>	
<p>847.1</p>	<p>Verifications of Employment Inquiries and responses concerning verification of an employee's prior or current employment with the agency</p>	<p>RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy</p>	

* 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	Disposition Instructions	Citation
851.2	Classification and Compensation Records – Office of State Human Resources 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 (1 of 2) Records used to start, modify, or stop all voluntary or required deductions from payroll; includes tax withholding forms (e.g., NC-4, W-4) SEE ALSO: Tax Forms (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Termination of deduction PLUS: 4 years THEN: Destroy*	<u>Retention</u> IRS Publication 15
852.2	 Deduction Registers (2 of 2) Includes deductions for retirement contributions, bank payments, savings plans, insurance, dues, and other related records SEE ALSO: Tax Forms (FINANCIAL MANAGEMENT)	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*	

* 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	Disposition Instructions	Citation
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)
856.5-1 	Payroll (1 of 2) Records concerning salaries paid to employees (including employed apprentices or students, interns, contract employees, and temporary employees). Contains information such as the name, Social Security number, number of hours worked, compensation rate, deductions, total wages paid, and employer contributions (e.g., retirement, healthcare) paid to each employee per payroll period SEE ALSO: Electronic Funds Transfers (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	<u>Authority</u> 29 CFR 516.30(a) <u>Confidentiality</u> G.S. § 132-1.10 ⁵ <u>Retention</u> 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)
856.5-2 	Payroll (2 of 2) – Department of State Treasurer Records concerning benefits paid by Department of State Treasurer to retired employees or their beneficiaries SEE ALSO: Electronic Funds Transfers (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*	<u>Authority</u> 29 CFR 516.30(a) <u>Confidentiality</u> G.S. § 132-1.10 ⁶ <u>Retention</u> 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)

⁵ Although salary information is public according to G.S. § 126-23, personal identifying information and deductions are confidential.

⁶ Ibid.

* 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	Disposition Instructions	Citation
857.T	<p>Salary Changes</p> <p>Notifications of salary changes; includes increments and salary increases mandated by legislative action</p>	<p>TRANSFER to Personnel File</p> <p><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></p>	
<p>858.5</p> 	<p>Shift Premium Pay</p> <p>Authorizations and other related records concerning employees receiving shift premium pay</p>	<p>RETAIN UNTIL: Paid</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>04 NCAC 24D .0501(a)</p>
859.3	<p>Statements of Back Pay</p> <p>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</p>	<p>RETAIN UNTIL: Paid</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	


* 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	Disposition Instructions	Citation
861.P	Administrative Records (1 of 3) Agency personnel policies and procedures SEE ALSO: Workers' Compensation Program Administration (below)	PERMANENT	
861.5	 Administrative Records (2 of 3) Personnel correspondence and memoranda SEE ALSO: Workers' Compensation Program Administration (below)	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
861.S	Administrative Records (3 of 3) Agreements and authorizations required of employees; includes orientation materials and informational data SEE ALSO: Workers' Compensation Program Administration (below)	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.

RC No.	Record Types	Disposition Instructions	Citation
862.T	<p>Aggregate Service History</p> <p>Complete history of each employee’s service with the agency</p>	TRANSFER to Personnel File	<p><u>Authority</u></p> <p>G.S. § 126-23</p>
863.2	<p>Apprentice, Intern, and Volunteer Records (1 of 2)</p> <p>Records concerning participants in internships and volunteer positions; includes applications and selection materials as well as aggregated data</p> <p>SEE ALSO: Employee Training Materials (below)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	
863.5	<p>Apprentice, Intern, and Volunteer Records (2 of 2)</p> <p>Records concerning participants in apprenticeships, including applications and selection materials as well as aggregated data; also includes affirmative action plans for apprenticeship programs</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>29 CFR 30.4(a) 29 CFR 1602.20</p> <p><u>Retention</u></p> <p>29 CFR 30.12(d) 29 CFR 1602.21</p>
864.1	<p> Civil Rights Cases (1 of 2)</p> <p>Records concerning discrimination complaints by employees or former employees; includes equal opportunity (EO) complaints</p> <p>SEE ALSO: Applications for Employment (below)</p>	<p>RETAIN UNTIL: Final disposition of the charge or action</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p> <p><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></p>	<p><u>Retention</u></p> <p>29 CFR 1602.14</p>




* 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	Disposition Instructions	Citation
864.2 	<p>Civil Rights Cases (2 of 2)</p> <p>Requests for reasonable accommodation by employees or former employees</p> <p>SEE ALSO: Applications for Employment (below)</p>	<p>RETAIN UNTIL: Obsolete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	
865.3	<p>Civil Rights Records</p> <p>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</p> <p>SEE ALSO: Civil Rights Cases (above); Reasonable Accommodations (RISK MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 126-19 29 CFR 1602.7 29 CFR 1602.41 29 CFR 1608.4</p> <p><u>Retention</u></p> <p>29 CFR 1602.30 29 CFR 1602.32 29 CFR 1602.39</p>
866.T	<p>Disciplinary Actions</p> <p>Records concerning disciplinary actions taken against employees</p> <p>SEE ALSO: Grievances (below); OAH Case Records, Discrimination Complaint Investigations (LEGAL)</p>	<p>TRANSFER to Personnel File</p> <p><i>NOTE: Records documenting disciplinary actions should be retained in accordance with the public information provision delineated in G.S. § 126-23</i></p>	
867.1 	<p>Dual and Secondary Employment (1 of 2)</p> <p>Records concerning employees engaging in dual employment with State government or secondary employment with an outside employer</p>	<p>RETAIN UNTIL: Termination of outside employment</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
867.< 	<p>Dual and Secondary Employment (2 of 2)</p> <p>Denied requests for outside employment</p>	<p>RETAIN UNTIL: Denial</p> <p>PLUS: 6 months</p> <p>THEN: Destroy</p>	






* 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	Disposition Instructions	Citation
868.30-1 	<p>Employee Medical Records (1 of 4)</p> <p>Records concerning asbestos, toxic substances, and bloodborne pathogen exposure</p> <p><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></p> <p>SEE ALSO: Workers' Compensation Program Claims (LEGAL)</p>	<p>RETAIN UNTIL: Exposure</p> <p>PLUS: 30 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>29 CFR 1910.1030 (h)(1)(iii)</p> <p><u>Retention</u></p> <p>29 CFR 1910.1020(d)</p>
868.5 	<p>Employee Medical Records (2 of 4)</p> <p>First aid records of minor job-related injuries</p> <p><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></p> <p>SEE ALSO: Workers' Compensation Program Claims (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1910.1020(d)</p>
868.1 	<p>Employee Medical Records (3 of 4)</p> <p>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)</p> <p><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></p> <p>SEE ALSO: Workers' Compensation Program Claims (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>29 CFR 1630.14(c)(1)</p> <p><u>Retention</u></p> <p>29 CFR 1627.3 (b)(1)(v)</p> <p>42 USC 12112(d)(3)</p>



* 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	Disposition Instructions	Citation
868.30-2 	<p>Employee Medical Records (4 of 4)</p> <p>Remaining employee medical records</p> <p><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></p> <p>SEE ALSO: Workers' Compensation Program Claims (LEGAL)</p>	<p>RETAIN UNTIL: Employee separation</p> <p>PLUS: 30 years Ω</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1910.1020(d)</p>
869.4	<p>Employee Suggestions and Surveys (1 of 2) – Department of Administration</p> <p>Records concerning adopted suggestions of employees through the Employee Suggestion (ES) System of the Department of Administration</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 4 years</p> <p>THEN: Destroy</p>	
869.1	<p>Employee Suggestions and Surveys (2 of 2)</p> <p>Employee surveys, rejected suggestions, and other related records outside of the ES System</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
8610.5 	<p>Employment Eligibility Verification (1 of 4)</p> <p>Employment authorization documents filed with the U.S. Department of Labor</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>20 CFR 656.10(f)</p>
8610.3-1 	<p>Employment Eligibility Verification (2 of 4)</p> <p>I-9 forms used for verifying the identity and employment authorization of individuals hired for employment in the United States</p>	<p>RETAIN UNTIL: Employee separation</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p> <p><i>NOTE: After separation, destroy records 3 years from date of hire or 1 year from separation, whichever occurs later</i></p>	<p><u>Retention</u></p> <p>8 USC 1324a(b)(3)</p>

* 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	Disposition Instructions	Citation
8610.3-2 	Employment Eligibility Verification (3 of 4) Immigrant or nonimmigrant petitions filed by the agency	RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy	
8610.1 	Employment Eligibility Verification (4 of 4) a) E-Verify forms b) Selective Service Registration compliance forms	RETAIN UNTIL: Employee separation PLUS: 1 year THEN: Destroy	<u>Retention</u> G.S. § 64-26(b) <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 (1 of 2) Records concerning employee grievances; includes EEO informal inquiry process and formal internal grievance process SEE ALSO: OAH Case Records (LEGAL)	RETAIN UNTIL: Resolution PLUS: 2 years THEN: Destroy*	
8612.5 	Grievances (2 of 2) – Office of State Human Resources Records concerning hearings conducted by the Office of State Human Resources SEE ALSO: OAH Case Records (LEGAL)	RETAIN UNTIL: Resolution 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	Disposition Instructions	Citation
8613.5	<p>Occupational Safety and Health Administration (OSHA) Records</p> <p>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</p> <p><i>NOTE: The receiving agency is the records owner for records generated by Department of Labor assessments</i></p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1904.33 29 CFR 1904.44</p>
8614.T	<p>Personnel Action Requests</p> <p>Records concerning personnel action changes (e.g., hire, termination, retirement, resignation)</p>	<p>TRANSFER to Personnel File</p> <p><i>NOTE: Records documenting personnel action requests should be retained in accordance with the public information provision delineated in G.S. § 126-23</i></p>	
8615.30	<p>Personnel File</p> <p> 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</p>	<p>RETAIN UNTIL: Separation</p> <p>PLUS: 30 years Ω</p> <p>THEN: Destroy</p> <p><i>NOTE: Records should be retained in accordance with the public information provision delineated in G.S. § 126-23</i></p>	<p><u>Authority</u></p> <p>G.S. § 126-23</p>
8616.5	<p>Seasonal and Contract Worker Records</p> <p> Records that document events in an individual's short-term employment history</p>	<p>RETAIN UNTIL: Separation</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
8617.S	<p>Workers' Compensation Program Administration</p> <p>Includes program policies, guidelines, and other related records</p> <p>SEE ALSO: Workers' Compensation Program Claims (LEGAL)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	

* 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	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 – Office of State Human Resources 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 (1 of 2) 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 for Employment (2 of 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	

* 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	Disposition Instructions	Citation
876.2	<p>Position Descriptions</p> <p>Job descriptions for each position</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1620.32</p>
877.1	<p>Position Evaluations</p> <p>Forms used to evaluate the primary purpose of a position</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
878.P	<p>Position History</p> <p>Classification records and complete histories of salaried positions within the agency; includes listings providing classification, titles, and position numbers</p>	<p>PERMANENT</p>	
879.1	<p>Recruitment Records</p> <p>Includes ads and notices of overtime, promotion, and training; also includes employment listings</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1627.3(b)(1)</p>


* 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	Disposition Instructions	Citation
881.1	<p>Asbestos Training</p> <p>Employee-specific records concerning training programs for the proper management of asbestos</p>	<p>RETAIN UNTIL: Separation</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1910.1001 (m)(4)</p>
882.3	<p>Bloodborne Pathogen Training</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1910.1030 (h)(2)(ii)</p>
883.S	<p>Employee Training Materials</p> <p>Records concerning the delivery of training to agency personnel; includes training manuals, syllabi and course outlines, and other related records</p> <p>SEE ALSO: Bloodborne Pathogen Training (above), Hazardous Waste Training (below), and Law Enforcement Training (below)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
884.2	<p> Employee Training Records</p> <p>Employee-specific records documenting the training of agency personnel; includes certificates, transcripts, test scores, selections, and other related records</p> <p>SEE ALSO: Asbestos Training (above)</p>	<p>TRANSFER to Personnel Jacket if training is necessary for current position or could affect career advancement</p> <p>RETAIN REMAINING RECORDS UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 1602.31 29 CFR 1627.3(b)(1)</p>

* 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	Disposition Instructions	Citation
885.5	<p>Hazardous Waste Training</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>29 CFR 1910.120 (p)(8)(iii)</p>
886.P	<p>Law Enforcement Training</p> <p>Records concerning internal training for law enforcement personnel</p>	<p>PERMANENT</p>	

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

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

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

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

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
Adult Correction, Department of	Inactive Personnel File	635
Agriculture and Consumer Services, Department of	Inactive Personnel File	242
Auditor, Office of the State	Inactive Personnel File	4081
Budget and Management, Office of State	Inactive Personnel File	38376
Commerce, Department of	Department of Commerce Inactive Personnel File	313
Commerce, Department of	Division of Employment Security Inactive Personnel File	415
Commerce, Department of	Division of Workforce Solutions Inactive Personnel File	49952
Community College System, North Carolina	System Office Inactive Personnel File	19777
Controller, Office of the State	Inactive Personnel File	39729
Environmental Quality, Department of	Inactive Personnel File	2484
Environmental Quality, Department of	Division of Environmental Management Inactive Personnel File	33824



Agency	Series Title	Item Number
Health and Human Services, Department of	Inactive Personnel File	1613
Health and Human Services, Department of	Division of Child Development Inactive Personnel File	7765
Health and Human Services, Department of	Division of Health Service Regulation Inactive Personnel File	1713
Health and Human Services, Department of	Division of Medical Assistance Inactive Personnel File	6409
Health and Human Services, Department of	Division of Mental Health, Developmental Disabilities, and Substance Abuse Services Inactive Personnel File	1890
Health and Human Services, Department of	Division of Public Health Inactive Personnel File	44004
Health and Human Services, Department of	Division of Services for the Blind Inactive Personnel File	1659
Health and Human Services, Department of	Division of Services for the Deaf and Hard of Hearing Inactive Personnel File	50904
Health and Human Services, Department of	Division of Social Services Inactive Personnel File	2101
Health and Human Services, Department of	DSOHF Black Mountain Neuro-Medical Treatment Center Inactive Personnel File	3497
Health and Human Services, Department of	DSOHF Broughton Hospital Inactive Personnel File	1957
Health and Human Services, Department of	DSOHF Caswell Developmental Center Inactive Personnel File	1963
Health and Human Services, Department of	DSOHF Central Regional Hospital Inactive Personnel File	50480
Health and Human Services, Department of	DSOHF Cherry Hospital Inactive Personnel File	1966
Health and Human Services, Department of	DSOHF J. Iverson Riddle Developmental Center Inactive Personnel File	3592
Health and Human Services, Department of	DSOHF Julian F. Keith Alcohol and Drug Abuse Treatment Center Inactive Personnel File	1954
Health and Human Services, Department of	DSOHF Longleaf Neuro-Medical Treatment Center Inactive Personnel File	1996
Health and Human Services, Department of	DSOHF Murdoch Developmental Center Inactive Personnel File	1995
Health and Human Services, Department of	DSOHF O’Berry Neuro-Medical Treatment Center Inactive Personnel File	1998
Health and Human Services, Department of	DSOHF Walter B. Jones Alcohol and Drug Abuse Treatment Center Inactive Personnel File	2009
Health and Human Services, Department of	Division of Vocational Rehabilitation Inactive Personnel File	2214
Housing Finance Agency, North Carolina	Inactive Personnel File	19631
Human Resources, Office of State	Inactive Temporary Solutions Workforce Personnel File	15403
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
Natural and Cultural Resources, Department of	State Parks Inactive Personnel File	3419

Appendix

Functional Schedule for North Carolina State Agencies (2025)



Agency	Series Title	Item Number
Occupational Safety and Health Review Commission, North Carolina	Inactive Personnel File	6003
Public Instruction, Department of	Inactive Personnel File	972
Public Instruction, Department of	Education Services for the Deaf and Blind Inactive Personnel File	50094
Public Safety, Department of	Inactive Personnel File	50798
Public Safety, Department of	North Carolina Air National Guard Individual Military Personnel File	747
Public Safety, Department of	Private Protective Services Inactive Registered Employees File	3925
Public Safety, Department of	State Highway Patrol Report of Investigation File	35451
Revenue, Department of	Inactive Personnel File	2856
Secretary of State, Department of the	Inactive Personnel File	2894
Transportation, Department of	Division of Motor Vehicles Inactive Personnel File	3160
Transportation, Department of	Department of Transportation Inactive Personnel File	2947
Treasurer, Department of State	Inactive Personnel File	16234
Wildlife Resources Commission	Inactive Personnel File	2745

Appendix



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, <http://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](#)
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- Appendix: [Records That Will Transfer to the State Records Center](#)

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.

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	Disposition Instructions	Citation
911.3	<p>Data Documentation Records</p> <p>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</p>	<p>RETAIN UNTIL: System is discontinued and/or replaced</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
912.1	<p>Data Migration Records</p> <p>Technical records documenting data migrations</p> <p><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></p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
913.S	<p>Data Warehouses</p> <p>Federated data gathered by the agency from other sources for the purposes of comparison and distribution</p> <p>SEE ALSO: Reporting (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p><i>NOTE: Consistent with any restrictions placed on the data producer</i></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.

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

RC No.	Record Types	Disposition Instructions	Citation
914.<	<p>Digitization and Scanning Records</p> <p>Records concerning data entry and imaging operations; includes quality control records and paper records that are digitized</p>	<p>RETAIN UNTIL: Digitized</p> <p>PLUS: 10 days</p> <p>THEN: Destroy</p> <p><i>NOTE: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type. Agencies must have a DNCR-approved electronic records policy in order to destroy non-permanent paper records that have been digitized</i></p>	
915.3	<p>Electronic Records Policies</p> <p>Records documenting the policies and procedures employed by the agency to maintain authentic and accessible electronic records</p> <p>SEE ALSO: Agency Policies (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
916.A-1	<p>Geospatial Data (1 of 5) – Department of Public Safety</p> <p>Records maintained by the Department of Public Safety concerning the first geographic positions and coordinates surveys established for geodetic stations throughout the state</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</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.

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

RC No.	Record Types	Disposition Instructions	Citation
916.A-2	<p>Geospatial Data (2 of 5) – Department of Information Technology</p> <p>Framework datasets maintained by the Center for Geographic Information and Analysis; includes vector and raster datasets</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (archival) ∞	
916.P-1	<p>Geospatial Data (3 of 5) – Department of Environmental Quality</p> <p>Data layers maintained by the Department of Environmental Quality; includes data about stream flow in bodies of water</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (appraisal required) ∞	
916.P-2	<p>Geospatial Data (4 of 5) – Department of Transportation</p> <p>Data layers maintained by the Department of Transportation; includes road centerline, boundaries, assets (e.g., roads, bridges, railroads, bike routes), and other related data</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	PERMANENT (appraisal required) ∞	
916.R	<p>Geospatial Data (5 of 5) – Department of Information Technology</p> <p>Thematic datasets maintained by the Center for Geographic Information and Analysis; includes vector and raster datasets</p> <p>SEE ALSO: Photogrammetric Project Records (INFRASTRUCTURE MANAGEMENT), Disaster Recovery Records (RISK MANAGEMENT)</p>	<p>RETAIN UNTIL: Reference value ends (appraisal required) ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</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.

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

RC No.	Record Types	Disposition Instructions	Citation
917.S	<p>Records Backup Information</p> <p>Records documenting regular or essential system backups; includes backup tape inventories and other related records</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
918.5	<p>System Backups (1 of 2)</p> <p>Backups of e-mails sent and received by employees of executive branch agencies in accordance with Executive Order No. 12 (2013)</p> <p>SEE ALSO: Correspondence (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Received/Sent</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p> <p><i>NOTE: Backups of Capstone positions or those identified as having archival e-mail accounts are permanent records</i></p>	<p><u>Authority/Retention</u></p> <p>EO No. 12 (2013)</p>
918.S	<p>System Backups (1 of 2)</p> <p>Backups of electronic files and data that are generated expressly for the purpose of restoring computer systems in the event of a disaster or accidental damage</p>	<p>Destroy the backups in accordance with your agency's established, regular backup plan and procedures</p> <p>SEE: Preservation Duplicates and Backup Files</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.



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

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	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 (1 of 2) Fixity checks and other periodic tests of data validity	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy*	
922.<	Data Authentication (2 of 2) Audit trails documenting user actions within monitored IT systems	RETAIN UNTIL: Disposition of IT system 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 (1 of 4) 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)

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

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


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

RC No.	Record Types	Disposition Instructions	Citation
924.1-2	Network and System Security Records (2 of 4) Records documenting access requests and authorizations, system access logs, and other related records	RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy	
924.2	 Network and System Security Records (3 of 4) 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	Network and System Security Records (4 of 4) 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)

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

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

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

RC No.	Record Types	Disposition Instructions	Citation
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 (1 of 3) Records concerning line registrations	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
928.1	Voice Over Internet Protocol (VoIP) Records (2 of 3) Records concerning call logs	RETAIN FROM: Creation PLUS: 1 year THEN: Destroy	
928.<	Voice Over Internet Protocol (VoIP) Records (3 of 3) Voicemail records	RETAIN UNTIL: Received PLUS: 30 days THEN: Destroy	
929.S	Web Management and Operations Records 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 SEE ALSO: Social Media and Websites (PUBLIC RELATIONS)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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

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

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

Records That Will Transfer to the State Records Center

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

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.

Appendix

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

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

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](#)
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- 1033 [Incident Management Assistance Records](#)
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- 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](#)

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

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	Disposition Instructions	Citation
1011.P 	<p>As-Built Drawings – Department of Administration</p> <p>As-built drawings collected by the Department of Administration for state-owned facilities; also includes electrical wiring diagrams</p> <p>SEE ALSO: Facility Management Records (ASSET MANAGEMENT)</p>	PERMANENT ©	<p><u>Confidentiality</u></p> <p>G.S. § 132.1-7</p>
1012.100	<p>Construction Records (1 of 2) – Department of Administration</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 100 years Ω</p> <p>THEN: Destroy</p>	
1012.S	<p>Construction Records (2 of 2)</p> <p>Records concerning repairs, additions, and construction of buildings and other public works that are <i>not</i> overseen by the State Construction Office</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>1013.3</p> 	<p>Federal-Aid Transportation Projects</p> <p>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</p>	<p>RETAIN UNTIL: Final voucher pay date</p> <p>PLUS: 3 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 136.28.5</p>
<p>1014.10-1</p>	<p>Mitigation Site Records (1 of 2) – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Monitoring complete</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</p>	
<p>1014.10-2</p>	<p>Mitigation Site Records (2 of 2) – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Project complete</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</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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RC No.	Record Types	Disposition Instructions	Citation
<p>1015.3</p> 	<p>State Transportation Projects (1 of 3) – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Payment of final estimate</p> <p>PLUS: 3 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 136.28.5</p>
<p>1015.1</p>	<p>State Transportation Projects (2 of 3) – Department of Transportation</p> <p>Project work books containing general project information for the Department of Transportation</p>	<p>RETAIN UNTIL: Payment of final estimate</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
<p>1015.<</p>	<p>State Transportation Projects (3 of 3) – Department of Transportation</p> <p>Load tickets submitted to the Department of Transportation as supporting documents for final estimates</p>	<p>RETAIN UNTIL: Payment of final estimate</p> <p>PLUS: 90 days</p> <p>THEN: Destroy</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.
 © 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	Disposition Instructions	Citation
1021.A	<p>Aviation Planning Records – Department of Transportation</p> <p>Records compiled by the Department of Transportation concerning aviation studies for NC airports; also includes planning and development records for private and public airports</p>	PERMANENT (archival) ∞	
1022.S	<p>Design Plans</p> <p>Includes let plans used for bidding, mix designs for construction materials, and planimetrics</p> <p>SEE ALSO: As-Built Drawings (above)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1023.3	<p>Dropped Projects Records – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Canceled/Rejected</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1024.P	<p>House Moving Records – Department of Transportation</p> <p>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</p>	PERMANENT	

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

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

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	Disposition Instructions	Citation
1025.3	<p>Materials Testing Records – Department of Transportation</p> <p>Records produced by the Department of Transportation; includes field inspection reports, sample information, and test results</p>	<p>RETAIN UNTIL: Closing of work order</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1026.P	<p>National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records (1 of 2) – Department of Transportation</p> <p>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</p>	<p>PERMANENT (appraisal required) ∞</p>	
1026.3	<p>National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records (2 of 2) – Department of Transportation</p> <p>Records concerning routine Department of Transportation projects</p>	<p>RETAIN UNTIL: Final voucher pay date</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1027.P	<p>Photogrammetric Project Records (1 of 4) – Department of Transportation</p> <p>Imagery and associated textual data collected by the Department of Transportation</p>	<p>PERMANENT</p>	
1027.15	<p>Photogrammetric Project Records (2 of 4) – Department of Transportation</p> <p>Preconstruction mapping by the Department of Transportation</p>	<p>RETAIN UNTIL: Project delivery</p> <p>PLUS: 15 years</p> <p>THEN: Destroy</p>	
1027.10	<p>Photogrammetric Project Records (3 of 4) – Department of Transportation</p> <p>Records produced by the Department of Transportation in support of transportation projects; includes construction earthwork computations</p>	<p>RETAIN UNTIL: Project delivery</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</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.

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

RC No.	Record Types	Disposition Instructions	Citation
1027.<	<p>Photogrammetric Project Records (4 of 4) – Department of Transportation</p> <p>Raw data associated with sensor collection by the Department of Transportation; includes imagery data as well as positioning and orientation data</p>	<p>RETAIN UNTIL: Flight complete</p> <p>PLUS: 6 months</p> <p>THEN: Destroy</p>	
1028.3	<p>Preconstruction Project Records</p> <p>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</p> <p>SEE ALSO: Transportation Projects (above)</p>	<p>RETAIN UNTIL: Closing of work order</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1029.P	<p>Surplus Property Records – Department of Transportation</p> <p>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</p> <p>SEE ALSO: Inventory Management Records (ASSET MANAGEMENT)</p>	<p>PERMANENT</p>	
10210.S	<p>Surveys and Maps</p> <p>Surveys and other maps used for facility design and land acquisition; also includes maps of state-owned corridors, infrastructure, and properties</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
10211.P	<p>Utilities Tip Projects Records – Department of Transportation</p> <p>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</p>	<p>PERMANENT</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.

© 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	Disposition Instructions	Citation
1031.P	Designations Records (1 of 2) – Department of Transportation 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	Designations Records (2 of 2) – Department of Transportation Rejected applications and other related records	RETAIN UNTIL: Rejected PLUS: 3 years THEN: Destroy	
1032.5	Dredge Reports – Department of Transportation 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 – Department of Transportation Includes dispatch information, activity logs, wrecker authorizations, and other related records within the Department of Transportation SEE ALSO: Collision Reports (LAW ENFORCEMENT)	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.
 © See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.



RC No.	Record Types	Disposition Instructions	Citation
1034.3	<p>Infrastructure Inspection Records (1 of 2)</p> <p>Records concerning post-construction inspections conducted to assess the integrity of infrastructure</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1034.A	<p>Infrastructure Inspection Records (2 of 2) – Department of Transportation</p> <p>Records concerning special structures owned by other state agencies and inspected by the Department of Transportation</p>	<p>PERMANENT (archival) ∞</p>	
1035.P	<p>Infrastructure Inventories – Department of Transportation</p> <p>Records required by the U.S. Department of Transportation; includes infrastructure assets such as railroad crossings, tunnels, and bridges; file also includes digital images</p>	<p>PERMANENT</p>	<p><u>Authority</u></p> <p>23 USC 144 (b)</p> <p>23 CFR 650.315</p>
1036.4	<p>Infrastructure Maintenance Records – Department of Transportation</p> <p>Includes roadside maintenance as well as road and rail repairs overseen by the Department of Transportation</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 4 years</p> <p>THEN: Destroy</p>	
1037.<	<p>Litter Reports – Department of Transportation</p> <p>Includes reports of littering and formal notifications by the Department of Transportation to motorists who litter</p>	<p>RETAIN UNTIL: Notification</p> <p>THEN: Destroy</p>	
1038.3	<p>Safety Investigation Records – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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.

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

RC No.	Record Types	Disposition Instructions	Citation
1039.< 	<p>Traffic Cameras and Radio Frequency (RF) Readers – Department of Transportation</p> <p>Records collected by the Department of Transportation; includes pictures of license plates, RF data, and footage of major thoroughfares</p> <p>SEE ALSO: Automatic License Plate Reader System (LAW ENFORCEMENT)</p>	<p>RETAIN UNTIL: Created</p> <p>PLUS: 30 days</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 136-89.213(a1)</p>
10310.S	<p>Traffic Information – Department of Transportation</p> <p>Records distributed by the Department of Transportation via 511 Information Line</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
10311.10	<p>Traffic Recorder Counts – Department of Transportation</p> <p>Forms collected by the Department of Transportation showing time, county, station number, location, month, readings, count/estimate, and remarks</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
10312.6 	<p>Traffic Safety Project Records – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 6 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>18 USC § 2721</p> <p>G.S. § 20-43.1</p>
10313.3	<p>Transportation Mobility and Safety Project Records – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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.
 © See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Disposition Instructions	Citation
<p>10314.2</p> 	<p>United States Coast Guard (USCG) Deck and Engineer’s Logs – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality/Retention</u></p> <p>33 CFR 104.235 46 CFR 78.37 46 CFR 140.910 46 CFR 185</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.
 © 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

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

Appendix

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

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
Administration, Department of	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
Administration, Department of	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
Transportation, Department of	Field Books (Federal-Aid Projects) File	3121
Transportation, Department of	Inactive Federal-Aid Projects (Reports and Correspondence) File	2952
Transportation, Department of	Load Tickets (Federal-Aid Projects) File	3119



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
Transportation, Department of	Active Mitigation Projects File	50729
Transportation, Department of	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
Transportation, Department of	Field Books (State Projects) File	3120
Transportation, Department of	Inactive State Projects (Reports and Correspondence) File	2957
Transportation, Department of	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
Transportation, Department of	Airports Planning and Development History File	16410
Transportation, Department of	Division of Aviation Master Plan File	16405
Transportation, Department of	North Carolina State Aviation System Planning File	16404



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

1034.A Infrastructure Inspection 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
Transportation, Department of	Special Structures File	25064

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>):

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 - 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](#)
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 - 1122 [Analysis Records](#)
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 - 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](#)
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 - 1161 [Automatic License Plate Reader System](#)
 - 1162 [Collision Reports](#)
 - 1163 [Escorts Records](#)
 - 1164 [Traffic Citations and Warnings](#)

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

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) and Department of Adult Correction (DAC) 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.

11.1




RC No.	Record Types	Disposition Instructions	Citation
1111.10 	Adult Offender Records (1 of 2) – Department of Adult Correction Combined inmates records maintained by the Department of Adult Correction; 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 SEE ALSO: Transition File (EDUCATION), Legal Case Records (LEGAL)	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 	Adult Offender Records (2 of 2) – Department of Adult Correction Other inmate records maintained by DAC; 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.

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





RC No.	Record Types	Disposition Instructions	Citation
1112.< 	<p>Correctional Facilities Security Recordings – Department of Public Safety, Department of Adult Correction</p> <p>Surveillance system reports and recordings of Department of Public Safety and Department of Adult Correction correctional facilities</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy*</p> <p><i>NOTE: Records that become part of a case file should be handled according to those disposition instructions</i></p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.7(a1)</p>
1113.A 	<p>Death Row Inmate Jackets – Department of Adult Correction</p> <p>Records maintained by the Department of Adult Correction 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</p>	<p>PERMANENT (archival) ∞</p>	
1114.10-1 	<p>Juvenile Offender Records (1 of 2) – Department of Public Safety</p> <p>Petitions and juvenile court orders, secure custody orders, admission sheets, inventory sheets, 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</p> <p>SEE ALSO: Cumulative Record, Services to Students with Disabilities, Transition File (EDUCATION), Pediatric Clinical Records (HEALTHCARE)</p>	<p>RETAIN UNTIL: Juvenile reaches 18 years of age</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 7B-3100</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.

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



RC No.	Record Types	Disposition Instructions	Citation
1114.10-2 	<p>Juvenile Offender Records (2 of 2) – Department of Public Safety</p> <p>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</p> <p>SEE ALSO: Cumulative Record, Services to Students with Disabilities, Transition File (EDUCATION), Pediatric Clinical Records (HEALTHCARE)</p>	<p>RETAIN UNTIL: Juvenile reaches 18 years of age</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 7B-3100</p>
1115.3 	<p>Offender Management Records (1 of 3) – Department of Public Safety, Department of Adult Correction</p> <p>Confinement reports, inspections, population lists, and other related operational records for Department of Public Safety and Department of Adult Correction facilities</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.7(a1)</p>
1115.6 	<p>Offender Management Records (2 of 3)</p> <p>Prison Rape Elimination Act (PREA) – allegation, investigation, and incident review records documenting investigations into allegations of sexual abuse or sexual harassment</p>	<p>RETAIN UNTIL: Separation</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p> <p><i>NOTE: If a minor is involved in the incident, records should be retained until the minor reaches age 30</i></p>	<p><u>Authority</u></p> <p>28 CFR Part 115</p>
1115.10 	<p>Offender Management Records (3 of 3)</p> <p>Prison Rape Elimination Act (PREA) – aggregated data for every allegation of sexual abuse at DPS and DAC lockups</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>28 CFR Part 115.187</p> <p><u>Retention</u></p> <p>28 CFR 115.189(d)</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.

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

RC No.	Record Types	Disposition Instructions	Citation
1116.2 	Probation Supervision Records – Department of Public Safety 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 – Department of Adult Correction Records maintained by the Department of Adult Correction 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.

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




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	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/Confidentiality/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.

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

RC No.	Record Types	Disposition Instructions	Citation
1124.<	<p>Incident Reports</p> <p>Reports of non-emergency incidents received electronically or via telephone</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy*</p> <p><i>NOTE: Records that become part of a case file should be handled according to those disposition instructions</i></p>	
1125.P 	<p>Interstate Identification Index (III) System (administered according to the National Crime Prevention and Privacy Compact) (1 of 3) – State Bureau of Investigation</p> <p>Fingerprint and photograph records maintained by the State Bureau of Investigation</p>	PERMANENT	<p><u>Confidentiality</u></p> <p>G.S. § 143B-981 (Article IV)</p> <p><u>Retention</u></p> <p>G.S. § 7B-2102(e)</p>
1125.< 	<p>Interstate Identification Index (III) System (administered according to the National Crime Prevention and Privacy Compact) (2 of 3) – State Bureau of Investigation</p> <p>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</p>	<p>RETAIN UNTIL: Decision</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 143B-981 (Article IV)</p> <p><u>Retention</u></p> <p>G.S. § 7B-2102(e)</p>
1125.2 	<p>Interstate Identification Index (III) System (administered according to the National Crime Prevention and Privacy Compact) (3 of 3) – State Bureau of Investigation</p> <p>Criminal history checks conducted by the SBI (on behalf of other agencies) that are not part of criminal investigations</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 143B-981 (Article IV)</p> <p><u>Retention</u></p> <p>G.S. § 7B-2102(e)</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.

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



RC No.	Record Types	Disposition Instructions	Citation
1126.P	<p>Offender Registries – Department of Adult Correction</p> <p>Records maintained by the Department of Adult Correction 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</p>	PERMANENT	<p><u>Authority</u></p> <p>G.S. § 14-208.14 G.S. § 14-208.15</p> <p><u>Retention</u></p> <p>G.S. § 14-208.13</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.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

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.

11.3

RC No.	Record Types	Disposition Instructions	Citation
1131.3	<p>Accident Reports</p> <p>Reports by state law enforcement and peace officers concerning accident investigations that do not lead to criminal charges</p> <p>SEE ALSO: Law Enforcement Case Records (below)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
1132.3	<p>Contraband and Seized Property Records</p> <p>Inventories, receipts, and disposition records; also includes records concerning asset forfeiture</p>	<p>RETAIN UNTIL: Final disposition of property</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1133.R	<p>Crime Reports</p> <p>Includes National Incident-Based Reporting System and Uniform Crime Reporting System</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	
1134.P	<p>Disposition of Charges – State Bureau of Investigation</p> <p>Reports from the court system maintained by the State Bureau of Investigation</p>	<p>PERMANENT</p>	<p><u>Authority</u></p> <p>G.S. § 15A Article 86</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.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.


RC No.	Record Types	Disposition Instructions	Citation
1135.5	<p>Evidence Management Records</p> <p>Records documenting the intake, management, and disposition of property seized by the agency as evidence or for safekeeping</p> <p><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></p>	<p>RETAIN UNTIL: Disposition of relevant case or property</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
1136.P	<p> Laboratory Case Records</p> <p>Records concerning cases examined in a crime laboratory; includes reports, notes, charts, and other related records</p>	<p>PERMANENT</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.4</p>
1137.20	<p> Law Enforcement Case Records (1 of 3)</p> <p>Reports, correspondence, interviews, and other related records for felony cases</p> <p><i>Note: Felony cases must be retained until solved.</i></p>	<p>RETAIN UNTIL: Disposition of case and exhaustion of any appeals</p> <p>PLUS: 20 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.4</p>
1137.5	<p> Law Enforcement Case Records (2 of 3) – Department of Revenue</p> <p>Reports, correspondence, interviews, and other related records for tax enforcement cases investigated by the Department of Revenue</p> <p><i>Note: Felony cases must be retained until solved. Unsolved misdemeanor cases that are not malicious may be destroyed after 3 years</i></p>	<p>RETAIN UNTIL: Disposition of case and exhaustion of any appeals</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.4</p>
1137.3	<p> Law Enforcement Case Records (3 of 3)</p> <p>Reports, correspondence, interviews, and other related records for misdemeanor cases</p> <p><i>Note: Unsolved misdemeanor cases that are not malicious may be destroyed after 3 years</i></p>	<p>RETAIN UNTIL: Disposition of case and exhaustion of any appeals</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.4</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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>1138.<</p> 	<p>Law Enforcement Recordings</p> <p>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</p> <p>SEE ALSO: Law Enforcement Case Records (above), Automatic License Plate Reader System (below), Workplace Security Records (RISK MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy*</p> <p><i>NOTE: Records that become part of a case file should be handled according to those disposition instructions</i></p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.4A</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.



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

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.

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

11.4

RC No.	Record Types	Disposition Instructions	Citation
<p>1141.1</p> 	<p>Event Forms</p> <p>Forms and reports concerning security and transportation for the Governor, First Spouse, and Lieutenant Governor and for special events</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.7(a)</p>
<p>1142.1</p> 	<p>Security Arrangements</p> <p>Itineraries, travel arrangements, and other related records for VIPs needing protective services</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.7(a)</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.
 ± The agency shall establish and enforce internal policies setting minimum retention periods for the records that DNCR has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

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	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 – State Highway Patrol 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 Records concerning rewards offered by the agency for the apprehension of a fugitive from justice SEE ALSO: Extraditions (GOVERNANCE)	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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>1155.1+</p> 	<p>Runaways File – Department of Public Safety</p> <p>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</p>	<p>RETAIN UNTIL: Juvenile reaches age 18</p> <p>PLUS: 18 months</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>Interstate Compact on Juveniles</p> <p><u>Confidentiality</u></p> <p>G.S. § 7B-3001 G.S. § 7B-3100</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.

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


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	Disposition Instructions	Citation
1161.< 	<p>Automatic License Plate Reader System</p> <p>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</p> <p>SEE ALSO: Traffic Cameras and Radio Frequency Readers (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Captured</p> <p>PLUS: 90 days</p> <p>THEN: Destroy</p>	<p><u>Confidentiality/Retention</u></p> <p>G.S. § 20-183.32</p>
1162.5	<p>Collision Reports</p> <p>Investigations surrounding accidents that involve vehicles along with pedestrians, cyclists, animals, or other objects</p> <p>SEE ALSO: Incident Management Assistance Records (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
1163.1	<p>Escorts Records</p> <p>Records concerning law enforcement escorts for house moves, over-width and over-height loads, processions, and other related records</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</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.

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



RC No.	Record Types	Disposition Instructions	Citation
1164.2	<p>Traffic Citations and Warnings</p> <p>Includes voided citations and warnings that do not require a fine or court appearance</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	

11.6

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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
Adult Correction, Department of	Adult Probation and Parole Case File <i>(after closing of case)</i>	638
Adult Correction, Department of	Combined Inmates Records File <i>(after release)</i>	632
Adult Correction, Department of	Presentence Diagnostic Case File <i>(after completion of case study)</i>	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
Adult Correction, Department of	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. *NOTE: Juvenile offender medical records should be transferred under RC 737.< (HEALTHCARE).*

Agency	Series Title	Item Number
Public Safety, Department of	Detention Centers Juvenile File	2244
Public Safety, Department of	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
Agriculture and Consumer Services, Department of	Forestry Administration Cases File	24173
Insurance, Department of	Fraud Investigations File	3403
Secretary of State, Department of the	Securities Division Closed Investigation Cases File	3840

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](#).

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

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.

12.1

RC No.	Record Types	Disposition Instructions	Citation
1211.P	<p>Affidavits of Publication (1 of 2)</p> <p>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</p> <p>SEE ALSO: Legal Case Records (below)</p>	PERMANENT	<p><u>Authority</u></p> <p>G.S. § 1-600</p>
1211.3	<p>Affidavits of Publication (2 of 2)</p> <p>Affidavits that provide supplementary evidence of publication</p> <p>SEE ALSO: Legal Case Records (below)</p>	<p>RETAIN UNTIL: Received or created</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 1-600</p>
1212.P	<p>Authentications</p> <p>Certificates of authentication issued by the agency</p>	PERMANENT	
1213.1	<p>Delegation of Authority Records</p> <p>Records documenting delegations of power to authorize agency business; includes signature authorities and powers of attorney</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</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.

RC No.	Record Types	Disposition Instructions	Citation
1214.P	<p>Permissions (1 of 2)</p> <p>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</p>	PERMANENT	
1214.3	<p>Permissions (1 of 2)</p> <p>One-time copyright permissions granted by the agency</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1215.5	<p>Release Forms</p> <p>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</p> <p>SEE ALSO: Settlements, Tort Claims (below); Field Trip Authorizations (EDUCATION)</p>	<p>RETAIN UNTIL: Termination of release/ waiver</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
1216.P	<p>Traffic Ordinances – Department of Transportation</p> <p>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</p>	PERMANENT	
1217.3	<p>Vehicle and Vessel Titles (1 of 2) – Wildlife Resources Commission</p> <p>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</p>	<p>RETAIN UNTIL: Canceled/transferred</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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.



RC No.	Record Types	Disposition Instructions	Citation
1217.20	<p>Vehicle and Vessel Titles (2 of 2) – Department of Transportation</p> <p>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</p>	<p>RETAIN UNTIL: Issued</p> <p>PLUS: 20 years</p> <p>THEN: Destroy</p> <p><i>NOTE: After 20 years, the Division shall maintain a record of the last two owners</i></p>	<p><u>Authority/Retention</u></p> <p>G.S. § 20-78</p>


12.1

* 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.

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	Disposition Instructions	Citation
1221.A 	Eugenics Compensation Program Records – Industrial Commission 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 – Office of Administrative Hearings 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	Disposition Instructions	Citation
1223.3	<p>Other Administrative Hearings</p> <p>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</p> <p>SEE ALSO: Investigation and Hearing Records (MONITORING AND COMPLIANCE)</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 150B Article 3A</p>
1224.10	<p>Recordings of Hearings</p> <p>Recordings of hearings as well as minutes</p>	<p>RETAIN UNTIL: Closed or final disposition of hearing request</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
1225.7-1	<p>Tort Claims (1 of 2) – Industrial Commission</p> <p>Records concerning claims by adults against the state; includes cases involving Department of Justice representation and cases heard by the Industrial Commission</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 7 years Ω</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 143 Article 31</p>
1225.7-2	<p>Tort Claims (2 of 2) – Industrial Commission</p> <p>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</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 7 years or until minor plaintiff attains the age of 21, whichever is greater</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>G.S. § 143-300</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.

RC No.	Record Types	Disposition Instructions	Citation
<p>1226.60</p> 	<p>Workers' Compensation Program Claims (1 of 6) – Industrial Commission</p> <p>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</p> <p><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></p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 60 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 97-92</p> <p><u>Retention</u></p> <p><i>Hylar v. GTE Prods. Co.</i>, 333 N. C. 258, 425 S.E.2d 698 (1993)</p>
<p>1226.5-1</p> 	<p>Workers' Compensation Program Claims (2 of 6) – Industrial Commission</p> <p>Any records concerning workers' compensation claims submitted to the NCIC electronically</p> <p><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></p>	<p>RETAIN UNTIL: Death of claimant</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 97-92</p> <p><u>Retention</u></p> <p><i>Hylar v. GTE Prods. Co.</i>, 333 N. C. 258, 425 S.E.2d 698 (1993)</p>
<p>1226.5-2</p> 	<p>Workers' Compensation Program Claims (3 of 6) – Industrial Commission</p> <p>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</p> <p><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></p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 97-92</p> <p><u>Retention</u></p> <p>G.S. § 97-24(c)</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.

RC No.	Record Types	Disposition Instructions	Citation
<p>1226.5-3</p> 	<p>Workers' Compensation Program Claims (4 of 6) – Industrial Commission</p> <p>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</p> <p><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></p>	<p>RETAIN UNTIL: Final disposition of hearing request or motion</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 97-92</p> <p><u>Retention</u></p> <p>G.S. § 97-24(c)</p>
<p>1226.2</p> 	<p>Workers' Compensation Program Claims (5 of 6) – Industrial Commission</p> <p>Employee reports of injury to NCIC to which no file number is assigned</p> <p><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></p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 97-92</p>
<p>1226.5-4</p> 	<p>Workers' Compensation Program Claims (6 of 6)</p> <p>Agency's working file for workers' compensation claims by its employees</p> <p>SEE ALSO: Accident/Incident Reports (RISK MANAGEMENT), Workers' Compensation Program Administration (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Employee returns to work or separates from agency</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 126-22</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.

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	Disposition Instructions	Citation
1231.P	<p>Compacts</p> <p>Records concerning intrastate and interstate compacts</p>	PERMANENT	<p><u>Confidentiality</u></p> <p>G.S. § 143-52 01 NCAC 05B .1903</p>
1232.10	<p>Contracts (1 of 5)</p> <p>Sealed contracts</p> <p><i>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)</i></p> <p>SEE ALSO: Real Property Records (below), Grants Management (FINANCIAL MANAGEMENT), Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Expiration or termination</p> <p>PLUS: 10 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>G.S. § 1-47(2)</p> <p><u>Confidentiality</u></p> <p>G.S. § 143-52 01 NCAC 05B .1903</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.

RC No.	Record Types	Disposition Instructions	Citation
1232.6	<p>Contracts (2 of 5)</p> <p>Contracts relating to capital improvements or business associate agreements</p> <p><i>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)</i></p> <p>SEE ALSO: Real Property Records (below), Grants Management (FINANCIAL MANAGEMENT), Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Expiration or termination</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>G.S. § 1-50(a)(5) 45 CFR 164.316</p> <p><u>Confidentiality</u></p> <p>G.S. § 143-52 01 NCAC 05B .1903</p>
1232.3	<p>Contracts (3 of 5)</p> <p>All remaining contracts (i.e., not sealed or related to capital improvements)</p> <p><i>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)</i></p> <p>SEE ALSO: Real Property Records (below), Grants Management (FINANCIAL MANAGEMENT), Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Expiration or supersession</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Retention</u></p> <p>G.S. § 1-52</p> <p><u>Confidentiality</u></p> <p>G.S. § 143-52 01 NCAC 05B .1903</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.

RC No.	Record Types	Disposition Instructions	Citation
1232.1	<p>Contracts (4 of 5)</p> <p>Records documenting restrictions and compliance with license and copyright provisions for products and services purchased by the agency</p> <p><i>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)</i></p> <p>SEE ALSO: Real Property Records (below), Grants Management (FINANCIAL MANAGEMENT), Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>RETAIN UNTIL: Superseded/ Obsolete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 143-52 01 NCAC 05B .1903</p>
1232.P	<p>Contracts (5 of 5) – Department of Administration</p> <p>Contracts log maintained by the Department of Administration of all contracts valued at more than \$1 million entered into by state agencies</p> <p><i>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)</i></p> <p>SEE ALSO: Real Property Records (below), Grants Management (FINANCIAL MANAGEMENT), Construction Management (INFRASTRUCTURE MANAGEMENT)</p>	<p>PERMANENT</p>	<p><u>Authority</u></p> <p>G.S. § 114-8.3(c)</p> <p><u>Confidentiality</u></p> <p>G.S. § 143-52 01 NCAC 05B .1903</p>
1233.P	<p>Encroachment Agreements (1 of 2)</p> <p>Records concerning agreements granted by outside entities to the agency; also includes maps or drawings detailing construction plans attached to agreements</p> <p>SEE ALSO: Real Property Records (below)</p>	<p>PERMANENT</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.



RC No.	Record Types	Disposition Instructions	Citation
1233.S	<p>Encroachment Agreements (2 of 2)</p> <p>Records concerning active and completed agreements granted to utilities, municipalities, businesses, and private property owners to encroach upon state property</p> <p>SEE ALSO: Real Property Records (below)</p>	<p>RETAIN UNTIL: Superseded/ Obsolete</p> <p>THEN: Destroy</p>	
1234.P	<p>Real Property Records (1 of 4) – Department of Secretary of State</p> <p>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</p> <p>SEE ALSO: Accession Records (ASSET MANAGEMENT)</p>	PERMANENT	<p><u>Authority</u></p> <p>G.S. § 147-39</p>
1234.<	<p>Real Property Records (2 of 4)</p> <p>Titles, deeds, conveyances, or other instruments whereby the agency has acquired title to any real property (and records are retained in agency)</p> <p>SEE ALSO: Accession Records (ASSET MANAGEMENT)</p>	<p>RETAIN UNTIL: Disposition of property</p> <p>THEN: Destroy*</p>	
1234.10	<p>Real Property Records (3 of 4)</p> <p>Records concerning easements granted to the agency</p> <p>SEE ALSO: Encroachment Agreements (above)</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 10 years</p> <p>THEN: Destroy*</p>	
1234.6	<p>Real Property Records (4 of 4)</p> <p>Leases negotiated by the agency to rent land or buildings for a specified period of time</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	

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 ∞ See appendix for list of item numbers for records that should transfer to the State Archives.
 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	Disposition Instructions	Citation
1235.P	<p>Right-of-Way Records – Department of Transportation</p> <p>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</p>	PERMANENT	
1236.10	<p>Settlements</p> <p>Records concerning pre-litigation or informal settlements</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
1237.T	<p>Vehicle Titles</p> <p>Titles to state-owned vehicles</p> <p>SEE ALSO: Vehicle and Vessel Titles (above)</p>	<p>RETAIN UNTIL: Disposition of vehicle</p> <p>THEN: Transfer to new owner</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.

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	Disposition Instructions	Citation
1241.A	Court of Appeals Case Records (1 of 3) – Court of Appeals 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	Court of Appeals Case Records (2 of 3) – Court of Appeals Docket sheets concerning each case in the Court of Appeals	RETAIN UNTIL: Adjudicated PLUS: 10 years THEN: Destroy	
1241.5	Court of Appeals Case Records (3 of 3) – Court of Appeals Briefs, correspondence, motions, and petitions concerning each case in the Court of Appeals	RETAIN UNTIL: Adjudicated 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.

RC No.	Record Types	Disposition Instructions	Citation
1242.80 	Expunctions (1 of 2) – Administrative Office of the Courts 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
1242.< 	Expunctions (2 of 2) Expunction orders received by state agencies	RETAIN UNTIL: Record is expunged THEN: Destroy	
1243.1+ 	Juvenile Court Counselor’s Case Records – Department of Public Safety 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 (1 of 2) – Court of Appeals 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	
1244.1+	Petitions and Motions (2 of 2) – Supreme Court Records concerning petitions denied by the Supreme Court	RETAIN UNTIL: Received PLUS: 18 months 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	Disposition Instructions	Citation
1245.A	<p>Supreme Court Records – Supreme Court</p> <p>a) 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</p> <p>b) 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</p>	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	Disposition Instructions	Citation
1251.100	<p>Advance Health Care Directive Registry – Department of the Secretary of State</p> <p>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</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 100 years</p> <p>THEN: Destroy</p> <p><i>NOTE: If the agency is notified of revocation of registration, records may be destroyed at that point</i></p>	<p><u>Authority</u></p> <p>G.S. § 130A-465</p>
1252.P	<p>Charters (1 of 2) – Department of the Secretary of State</p> <p>a) Charters, amendments, articles of incorporation, and other creation documents recorded and filed with the Department of the Secretary of State</p> <p>b) Bank charters and articles of amendment filed with the Department of the Secretary of State</p>	<p>PERMANENT</p>	
1252.A	<p>Charters (2 of 2) – Department of the Secretary of State</p> <p>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</p> <p>b) Current edition of the State Constitution and all amendments maintained by the Department of the Secretary of State</p>	<p>PERMANENT (archival) ∞</p>	<p><u>Authority</u></p> <p>G.S. § 147-36 (10)</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.

RC No.	Record Types	Disposition Instructions	Citation
1253.P	<p>Financing Statements (1 of 2) – Department of the Secretary of State</p> <p>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</p>	PERMANENT	<p><u>Authority</u></p> <p>G.S. § 44-68.12</p> <p><u>Retention</u></p> <p>G.S. § 44-68.14(b)</p>
1253.1	<p>Financing Statements (2 of 2) – Department of the Secretary of State</p> <p>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)</p>	<p>RETAIN UNTIL: Effectiveness lapses</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 25-9-501</p> <p>G.S. § 25-9-519</p> <p><u>Retention</u></p> <p>G.S. § 25-9-515</p> <p>G.S. § 25-9-522</p>
1254.P	<p>Foreign Government Agreements – Department of the Secretary of State</p> <p>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</p>	PERMANENT	<p><u>Authority</u></p> <p>G.S. § 66-280</p>
1255.A	<p>Land Records (1 of 2) – Department of the Secretary of State</p> <p>Annexation ordinances and maps submitted by North Carolina municipalities to the Department of the Secretary of State</p>	PERMANENT (archival) ∞	
1255.P	<p>Land Records (2 of 2) – Department of the Secretary of State</p> <p>Maps of county and state boundaries, rivers, roads, watersheds, and other locations recorded and filed with the Department of the Secretary of State</p>	PERMANENT	
1256.A	<p>Licensing Board Reports – Department of the Secretary of State</p> <p>Reports of licensing boards filed with the Department of the Secretary of State</p>	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	Disposition Instructions	Citation
1257.A	<p>Ordinances and Regulations – Department of the Secretary of State</p> <p>Records documenting ordinances, rules, regulations, etc. promulgated by entities required to file with the Department of the Secretary of State</p>	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	Disposition Instructions	Citation
1261.A	Attorney General’s Advice and Opinions (1 of 3) – Department of Justice Formal opinions written by the Attorney General to state or local government officials or their attorneys regarding legal matters	PERMANENT (archival) ∞	
1261.10	Attorney General’s Advice and Opinions (2 of 3) – Department of Justice Advisory letters and opinions written by Department of Justice attorneys	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
1261.P	Attorney General’s Advice and Opinions (3 of 3) 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	Disposition Instructions	Citation
1262.P	<p>Declaratory Rulings</p> <p>Records concerning declaratory rulings issued by the agency to interpret either statutes or rules as applied to a specified set of facts</p> <p>SEE ALSO: Investigation and Hearing Records (MONITORING AND COMPLIANCE)</p>	PERMANENT (appraisal required)	
1263.1	 <p>Discrimination Complaint Investigations (1 of 2)</p> <p>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)</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Authority/</u> <u>Confidentiality/</u> <u>Retention</u></p> <p>49 CFR 27.121</p> <p><u>Authority/</u> <u>Confidentiality</u></p> <p>G.S. § 95-242</p>
1263.5	<p>Discrimination Complaint Investigations (2 of 2)</p> <p>Summaries of discrimination complaints</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
1264.10	<p>General Legal Correspondence – Department of Justice</p> <p>Letters to private residents and organizations that request legal assistance from the Department of Justice</p> <p>SEE ALSO: Correspondence (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
1265.A	<p>Legal Case Records (1 of 11)</p> <p>Records concerning cases holding statewide significance</p>	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	Disposition Instructions	Citation
1265.10-1 	Legal Case Records (2 of 11) 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	Legal Case Records (3 of 11) Records that accompany responsive documents to a subpoena for a case to which the responding entity is not a party SEE ALSO: RC No. 1265.10-1 ; Public Records Requests (PUBLIC RELATIONS)	RETAIN UNTIL: Submitted PLUS: 2 years THEN: Destroy	
1265.50 	Legal Case Records (4 of 11) – Innocence Inquiry Commission 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	<u>Confidentiality</u> G.S. § 15A-1468(e) G.S. § 15A-1468(g) G.S. § 132-1.4(a)
1265.10-2 	Legal Case Records (5 of 11) – Office of the District Attorney Records concerning Class B1-E felony cases argued by the Office of the District Attorney	RETAIN UNTIL: Disposition of case PLUS: 10 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(a) G.S. § 132-1.9
1265.3 	Legal Case Records (6 of 11) – Office of the District Attorney Records concerning Class F-I felony cases argued by the Office of the District Attorney	RETAIN UNTIL: Disposition of case PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(a) G.S. § 132-1.9
1265.<1 	Legal Case Records (7 of 11) – Office of the District Attorney Records concerning misdemeanor cases argued by the Office of the District Attorney	RETAIN UNTIL: Appeal period expires or appeals are exhausted THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(a) G.S. § 132-1.9

* 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	Disposition Instructions	Citation
1265.<2 	Legal Case Records (8 of 11) – Office of the District Attorney Records concerning Class A felony cases argued by the Office of the District Attorney	RETAIN UNTIL: Death of defendant THEN: Destroy	<u>Confidentiality</u> G.S. § 132-1.1(a) G.S. § 132-1.9
1265.6-1 	Legal Case Records (9 of 11) – Office of Indigent Defense Services 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	<u>Confidentiality</u> G.S. § 132-1.1(a) G.S. § 132-1.9
1265.6-2	Legal Case Records (10 of 11) – Department of Justice Consumer complaints filed with and reviewed by the Department of Justice	RETAIN UNTIL: Closed PLUS: 6 years Ω THEN: Destroy	
1265.<3 	Legal Case Records (11 of 11) – Court of Appeals and Supreme Court 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	<u>Confidentiality</u> G.S. § 132-1.9
1266.P 	Legal Opinions Legal opinions received from outside counsel	PERMANENT	<u>Confidentiality</u> 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.

12.7



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

RC No.	Record Types	Disposition Instructions	Citation
1271.A 	Birth Records (1 of 2) – Department of Health and Human Services Copies of birth certificates deposited with the Department of Health and Human Services	PERMANENT and PERMANENT (archival) ∞	<u>Authority</u> G.S. § 130A-101 G.S. § 130A-114 G.S. § 130A-115 <u>Confidentiality</u> G.S. § 130A-93
1271.P 	Birth Records (2 of 2) – Department of Health and Human Services 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 – Department of Health and Human Services Copies of death certificates deposited with the Department of Health and Human Services	PERMANENT and PERMANENT (archival) ∞	<u>Authority</u> G.S. § 130A-101 G.S. § 130A-114 G.S. § 130A-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 – Department of Health and Human Services</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 G.S. § 130A-111 <u>Confidentiality</u> G.S. § 130A-93</p>
<p>1274.A</p> 	<p>Marriage Records – Department of Health and Human Services</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 G.S. § 130A-111 <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

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

Appendix

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

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
Industrial Commission, North Carolina	Eugenics Asexualization and Sterilization Compensation Program File	50388

1232.3 Contracts: Transfer to the State Records Center after 5 years. Records will be held for agency 23 additional years and then destroyed.

Agency	Series Title	Item Number
Treasurer, Department of State	Installment Purchase Contracts File	46167

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
Administrative Hearings, Office of	Cases File	4105

1225.7-1 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
Industrial Commission, North Carolina	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
Court of Appeals, North Carolina	Judgments File	39469

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
Supreme Court, North Carolina	Death Case Records File	39474
Supreme Court, North Carolina	Minute Books File	3379
Supreme Court, North Carolina	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
Secretary of State, Department of the	Amendments to the Constitution of 1971 File	50603
Secretary of State, Department of the	Constitution of 1971 File	50602
Secretary of State, Department of the	Historic Charters and Amendments File	48530
Secretary of State, Department of the	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
Secretary of State, Department of the	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
Secretary of State, Department of the	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
Secretary of State, Department of the	Ordinances and Regulations File	50836

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
Justice, Department of	Attorney General’s Formal Opinions File	38553

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
Administration, Department of	Legal File	3466
Insurance, Department of	Litigation and Docket File	2259
Justice, Department of	Administrative Division Archival Case File	50279
Justice, Department of	Archival Environmental Cases File	49701
Justice, Department of	Archival Federal Habeas Corpus Case File	48040
Justice, Department of	Capital Litigation Case File	47040
Justice, Department of	Civil Division Director’s Litigation and Mediation File	48421
Justice, Department of	General Counsel’s Litigation File	50896
Justice, Department of	Public Safety Civil Rights Cases File	3452
Justice, Department of	Special Litigation Cases File	14897
Justice, Department of	Special Prosecutions Appellate Cases File	3743
Natural and Cultural Resources, Department of	Legal Records File	45686
Public Safety, Department of	Operations Division Legal and Legislative File	697
Physical Therapy Examiners, North Carolina Board of	Litigation File	50873

Appendix

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
Innocence Inquiry Commission, North Carolina	Case Records File	48428

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
Administrative Hearings, Office of	Human Relations Commission Fair Housing Act Complaints Case File	11065
Health and Human Services, Department of	Contested Certificate of Need Case Files	41022
Health and Human Services, Department of	Continuing Legal Issues File	45958
Health and Human Services, Department of	Legal Affairs Contested Case Hearings File	45960
Health and Human Services, Department of	Program Integrity Medicaid Investigation Case Files	50857



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

Appendix

1265.6-2 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
Justice, Department of	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
Health and Human Services, Department of	Certificates of Live Birth File	1802
Health and Human Services, Department of	Delayed Certificate of Birth File	4022
Health and Human Services, Department of	Index to Certificates of Live Birth File	8334
Health and Human Services, Department of	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
Health and Human Services, Department of	Belated Certificates of Death File	46547
Health and Human Services, Department of	Certificate of Death File	1804
Health and Human Services, Department of	Index to Certificates of Death File	8342

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
Health and Human Services, Department of	Divorce Records File	8343
Health and Human Services, Department of	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
Health and Human Services, Department of	Index to License and Certificates of Marriage File	8346
Health and Human Services, Department of	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>):

- 13.1 [Accountability and Oversight](#)
 - 1311 [Assistance Records](#)
 - 1312 [Audit Planning Records](#)
 - 1313 [Audit Reports](#)
 - 1314 [Consultant, Contractor, Provider, and Vendor Due Diligence Records](#)
 - 1315 [Corrective Measures](#)
 - 1316 [Improper Conduct Investigations](#)
 - 1317 [Rates and Standards](#)
 - 1318 [State Auditor Hotline](#)
- 13.2 [Authorizing and Licensing](#)
 - 1321 [Bonds and Collateral Securities](#)
 - 1322 [Denied Licenses and Permits](#)
 - 1323 [Environmental Impact Statements \(EIS\)](#)
 - 1324 [Incomplete or Withdrawn Applications](#)
 - 1325 [Licenses and Permits](#)
 - 1326 [Registries](#)
 - 1327 [Registrations](#)
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 - 1331 [Controlled Substances Reporting System](#)
 - 1332 [Evaluations and Inspections](#)
 - 1333 [Investigation and Hearing Records](#)
 - 1334 [Monitoring Surveys and Reports](#)

1335 Unsubstantiated Complaints

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

Appendix: [Confidentiality Provisions for Specific Agencies](#)

Appendix: [Authority Provisions for Specific Agencies](#)

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	Disposition Instructions	Citation
1311.2-1 	<p>Assistance Records (1 of 3)</p> <p>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</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
1311.2-2	<p>Assistance Records (2 of 3)</p> <p>Requirements or directives promulgated by the agency for the conduct of a business or activity</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</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.

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






RC No.	Record Types	Disposition Instructions	Citation
1311.10	<p>Assistance Records (3 of 3) – Department of Insurance</p> <p>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</p> <p>SEE ALSO: Constituent Comments, Complaints, and Petitions (PUBLIC RELATIONS); Administrative Code (GOVERNANCE)</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	
1312.10	 <p>Audit Planning Records – Office of the State Auditor</p> <p>Work papers directly pertaining to audits by the Office of the State Auditor</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality/Retention</u></p> <p>G.S. § 147-64.6(d)</p>
1313.A	<p>Audit Reports (1 of 6) – Office of the State Auditor</p> <p>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</p>	<p>PERMANENT (archival) ∞</p>	
1313.P	<p>Audit Reports (2 of 6)</p> <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</p>	<p>PERMANENT (appraisal required) ∞</p>	
1313.10	<p>Audit Reports (3 of 6)</p> <p>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</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 143-746</p> <p><u>Retention</u></p> <p>G.S. § 143-748</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.

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

RC No.	Record Types	Disposition Instructions	Citation
1313.5 	Audit Reports (4 of 6) Work papers and other evidence and related supportive material directly pertaining to audits	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	<u>Confidentiality</u> G.S. § 143-748 G.S. § 147-64.6(d)
1313.6 	Audit Reports (5 of 6) – Department of Revenue 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 	Audit Reports (6 of 6) – Department of Revenue 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)
1314.2 	Consultant, Contractor, Provider, and Vendor Due Diligence Records (1 of 2) 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 SEE ALSO: Contracts (LEGAL); Discrimination Complaint Investigations (LEGAL); Grants Management (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Contract expires PLUS: 2 years THEN: Destroy	
1314.1 	Consultant, Contractor, Provider, and Vendor Due Diligence Records (2 of 2) Records documenting the vetting of contractors and vendors with whom the agency considers conducting business but does not award a contract SEE ALSO: Contracts (LEGAL); Discrimination Complaint Investigations (LEGAL); Grants Management (FINANCIAL MANAGEMENT)	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.

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



RC No.	Record Types	Disposition Instructions	Citation
1315.2	<p>Corrective Measures</p> <p>Records documenting agency actions to address concerns raised by an audit or complaint</p>	<p>RETAIN UNTIL: Effective</p> <p>PLUS: 2 years</p> <p>THEN: Destroy</p>	
1316.3	<p>Improper Conduct Investigations</p> <p>a) 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</p> <p>b) Ombudsman records regarding complaints against the agency, contractors, or providers; includes investigation reports, responses, and other related records</p> <p>SEE ALSO: Investigation and Hearing Records; Grievances (HUMAN RESOURCES); Ombudsmen (GOVERNANCE)</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	
1317.S	<p>Rates and Standards (1 of 3)</p> <p>Records concerning tests conducted to establish official samples, weights and measures, and other standards; also includes rate setting documentation</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1317.P	<p>Rates and Standards (2 of 3) – Department of Agriculture and Consumer Services</p> <p>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</p>	<p>PERMANENT</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.

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

RC No.	Record Types	Disposition Instructions	Citation
1317.20	<p>Rates and Standards (3 of 3) – Department of Insurance</p> <p>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</p>	<p>RETAIN UNTIL: Resolution</p> <p>PLUS: 20 years Ω</p> <p>THEN: Destroy*</p>	
<p>1318.T</p> 	<p>State Auditor Hotline (1 of 2) – Office of the State Auditor</p> <p>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</p>	<p>RETAIN UNTIL: Determination</p> <p>THEN: Transfer to Audit Reports</p> <p><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></p>	<p><u>Confidentiality</u></p> <p>G.S. § 147-64.6B(a)</p>
<p>1318.3</p> 	<p>State Auditor Hotline (2 of 2) – Office of the State Auditor</p> <p>Allegations of improper governmental activities that the Office of the State Auditor finds unsubstantiated</p>	<p>RETAIN UNTIL: Receipt</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 147-64.6B(a)</p> <p><u>Retention</u></p> <p>G.S. § 147-64.6B(c)</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.


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

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	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) ∞	

* 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.

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





RC No.	Record Types	Disposition Instructions	Citation
1324.1	<p>Incomplete or Withdrawn Applications (1 of 2)</p> <p>Applications that are not completed within the window of time provided by the agency or that are withdrawn from consideration</p>	<p>RETAIN UNTIL: Expiration of application period or withdrawal</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
1324.<	<p>Incomplete or Withdrawn Applications (2 of 2)</p> <p>Applications begun in an online portal but never submitted</p>	<p>RETAIN UNTIL: Last activity</p> <p>PLUS: 90 days</p> <p>THEN: Destroy</p>	
1325.3-1 	<p>Licenses and Permits (1 of 12)</p> <p>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</p>	<p>RETAIN UNTIL: Expiration or renewal</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
1325.R 	<p>Licenses and Permits (2 of 12)</p> <p>Examinations and background checks related to renewable accreditations, licenses, registrations, and permits</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	<p><u>Confidentiality</u></p> <p>See appendix</p>
1325.3-2 	<p>Licenses and Permits (3 of 12)</p> <p>Records concerning one-time authorizations</p>	<p>RETAIN UNTIL: Expiration</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>See appendix</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.

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


RC No.	Record Types	Disposition Instructions	Citation
1325.1 	Licenses and Permits (4 of 12) Records concerning lifetime or perpetual authorizations	RETAIN UNTIL: Resignation from license, death of holder, or dissolution of entity PLUS: 1 year THEN: Destroy	<u>Confidentiality</u> See appendix
1325.6	Licenses and Permits (5 of 12) Records concerning authorizations of capital improvement projects	RETAIN UNTIL: Completion of project PLUS: 6 years THEN: Destroy*	
1325.10 	Licenses and Permits (6 of 12) – Department of Transportation Source documentation collected by the Division of Motor Vehicles in order to issue Real ID cards	RETAIN UNTIL: Received PLUS: 10 years THEN: Destroy	<u>Retention</u> 6 CFR 37.31
1325.75 	Licenses and Permits (7 of 12) Records concerning lifetime professional licenses; also includes Certificate of Need documentation for healthcare facilities	RETAIN UNTIL: Received PLUS: 75 years Ω THEN: Destroy	<u>Confidentiality</u> See appendix
1325.A 	Licenses and Permits (8 of 12) Records concerning authorizations that impact the general public. Includes licenses and permits for radioactive materials and solid waste, as well as corporation charters	PERMANENT (archival) ∞	<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.

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




RC No.	Record Types	Disposition Instructions	Citation
1325.P-1	<p>Licenses and Permits (9 of 12) – Department of Environmental Quality</p> <p>Records concerning oil or gas well drilling, completion, production, and plugging transferred by the permittee to the State Geologist</p>	PERMANENT	<p><u>Retention</u></p> <p>15A NCAC 05H .0202</p>
1325.P-2	 <p>Licenses and Permits (10 of 12) – Department of Commerce</p> <p>Records of articles of incorporation, bylaws, and charters for credit unions chartered in North Carolina as filed with the Department of Commerce</p>	PERMANENT	<p><u>Confidentiality</u></p> <p>G.S. § 54-109.105</p>
1325.50	<p>Licenses and Permits (11 of 12) – Department of Health and Human Services</p> <p>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</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 50 years Ω</p> <p>THEN: Destroy</p>	
1325.22	<p>Licenses and Permits (12 of 12) – Department of Health and Human Services</p> <p>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</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 22 years Ω</p> <p>THEN: Destroy</p>	
1326.S	<p>Registries</p> <p>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</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>See appendix</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.

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


RC No.	Record Types	Disposition Instructions	Citation
1327.5-1	Registrations (1 of 4) – Department of Agriculture and Consumer Services 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 	Registrations (2 of 4) – Department of Health and Human Services 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/Confidentiality</u> G.S. § 130A-309.138
1327.5-3 	Registrations (3 of 4) – Department of Revenue 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	Registrations (4 of 4) – Department of the Secretary of State 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 (1 of 2) 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

* 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.

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

RC No.	Record Types	Disposition Instructions	Citation
1328.1 	Revoked Licenses and Permits (2 of 2) 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	<u>Confidentiality</u> See appendix
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.


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

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.

13.3




RC No.	Record Types	Disposition Instructions	Citation
<p>1331.6</p> 	<p>Controlled Substances Reporting System – Department of Health and Human Services</p> <p>records accumulated by the Department of Health and Human Services concerning prescriptions for all Schedule II through V controlled substances</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 6 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 90-113.73</p> <p><u>Confidentiality</u></p> <p>G.S. § 90-113.74(a)</p> <p><u>Retention</u></p> <p>G.S. § 90-113.74(f)</p>
<p>1332.A</p>	<p>Evaluations and Inspections (1 of 2)</p> <p>Records of monitoring and inspections that have value for documenting patterns</p> <p>SEE ALSO: Inspections (RISK MANAGEMENT)</p>	<p>PERMANENT (archival) ∞</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.

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




RC No.	Record Types	Disposition Instructions	Citation
1332.3 	Evaluations and Inspections (2 of 2) 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
1333.3 	Investigation and Hearing Records (1 of 7) 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 SEE ALSO: Improper Conduct Investigations ; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records , OAH Case Records , Other Administrative Hearings (LEGAL)	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	<u>Confidentiality</u> See appendix
1333.50 	Investigation and Hearing Records (2 of 7) 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 SEE ALSO: Improper Conduct Investigations ; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records , OAH Case Records , Other Administrative Hearings (LEGAL)	RETAIN UNTIL: Complete PLUS: 50 years Ω 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.

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


RC No.	Record Types	Disposition Instructions	Citation
 1333.10-1	<p>Investigation and Hearing Records (3 of 7) – State Treasurer</p> <p>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</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 128-28(s), (t) G.S. § 135-6(r), (s)</p> <p><u>Retention</u></p> <p>G.S. 128-28(s) G.S. 135-6(r)</p>
 1333.S	<p>Investigation and Hearing Records (4 of 7) – State Treasurer</p> <p>Work papers for fraud investigations by the Department of State Treasurer</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 128-28(s), (t) G.S. § 135-6(r), (s)</p> <p><u>Retention</u></p> <p>G.S. 128-28(s) G.S. 135-6(r)</p>
 1333.10-2	<p>Investigation and Hearing Records (5 of 7) – Department of Health and Human Services</p> <p>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</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 10 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 8-53 G.S. § 130A-12 45 CFR 164.502</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.

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

RC No.	Record Types	Disposition Instructions	Citation
<p>1333.75</p> 	<p>Investigation and Hearing Records (6 of 7) – Utilities Commission</p> <p>Records concerning rate cases heard by the North Carolina Utilities Commission; includes applications, orders, transcripts, exhibits, complaints, and other related records</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 75 years Ω</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.2</p>
<p>1333.A</p>	<p>Investigation and Hearing Records (7 of 7) – State Board of Elections</p> <p>Transcripts of hearing proceedings of the State Board of Elections</p> <p>SEE ALSO: Improper Conduct Investigations; Law Enforcement Case Records (LAW ENFORCEMENT); Legal Case Records, OAH Case Records, Other Administrative Hearings (LEGAL)</p>	<p>PERMANENT (archival) ∞</p>	
<p>1334.3</p>	<p>Monitoring Surveys and Reports</p> <p>a) Records concerning the monitoring of individuals, entities, and processes</p> <p>b) Records concerning the monitoring of environmental conditions; includes monitoring of air, land, water, and other natural resources</p> <p>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)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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.

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



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

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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
Auditor, Office of the State	Financial Audit Reports	260
Auditor, Office of the State	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
Nursing, North Carolina Board of	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
Insurance, Department of	Automobile Insurance Filing File	49383
Insurance, Department of	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
Administration, Department of	State Environmental Review Clearinghouse Environmental Impact Statements	117
Natural and Cultural Resources, Department of	County Environmental Review File	1050
Natural and Cultural Resources, Department of	Environmental Review File	814

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

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
Banks, Office of the Commissioner of	Bank Charters and Amendments File	336
Commerce, Department of	Credit Union Charters and Amendments File	365
Environmental Quality, Department of	Animal Waste Permit File	46012
Environmental Quality, Department of	Coastal Development Major Permits File	3191
Environmental Quality, Department of	Known and Potential Contaminated Sites	47905
Environmental Quality, Department of	Scrap Tires Sites Cleanup Program File	36379
Environmental Quality, Department of	Septage Land Application Site and Detention and Treatment Facility Permits File	36352
Environmental Quality, Department of	Solid Waste Facilities File	8102
Environmental Quality, Department of	Solid Waste Facilities Post-Closure File	36343
Environmental Quality, Department of	Solid Waste Non-Permitted File	8101
Environmental Quality, Department of	State Cleanup Funds Reimbursement File	34051
Health and Human Services, Department of	Active Radioactive Materials Licenses	7581
Health and Human Services, Department of	Decommissioned Radioactive Waste Sites	50366
Health and Human Services, Department of	Terminated Radioactive Materials Licenses	1750
Health and Human Services, Department of	Terminated Reciprocal Recognition File	35908
Secretary of State, Department of the	Business Entities Registry	15629
Secretary of State, Department of the	Withdrawn/Dissolved/Revoked Business Entities	2909

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
Health and Human Services, Department of	Asbestos Accreditations File	8314
Health and Human Services, Department of	Asbestos/National Emissions Standards for Hazardous Air Pollutants (NESHAP) Inspections and Enforcements File	17384
Health and Human Services, Department of	Asbestos Waste Shipment Records (WSR)	50865
Health and Human Services, Department of	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
Health and Human Services, Department of	Lead Abatement Firm Records	50866
Health and Human Services, Department of	Lead Abatement Individual Records	50867
Health and Human Services, Department of	Lead Enforcement Actions	50868
Health and Human Services, Department of	Lead Permits	50869
Health and Human Services, Department of	Lead Renovation Firm Records	50870
Health and Human Services, Department of	Lead Renovation Individual Records	50871

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
Secretary of State, Department of the	Inactive Mark Certifications	2889
Secretary of State, Department of the	Lobbying Compliance Registration Index File	41954





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
Environmental Quality, Department of	Air Quality Enforcement Actions File	17370
Environmental Quality, Department of	Air Quality Self-Monitoring File	17382
Environmental Quality, Department of	Annual, Quarterly, and Monthly Groundwater Monitoring Reports File	49583
Environmental Quality, Department of	Annual, Quarterly, and Monthly Non-Discharge Reports File	35674
Environmental Quality, Department of	Groundwater Pollution Incidents File	25681
Environmental Quality, Department of	Groundwater Research Station File	49408
Environmental Quality, Department of	Injection Well Permits File	17398
Environmental Quality, Department of	Mining, Sedimentation, and Dam Safety Enforcement Actions File	4099
Environmental Quality, Department of	Oil and Hazardous Waste Materials Spills Investigation File	17594
Environmental Quality, Department of	Ozone Precursor Hydrocarbon Data File	40555
Environmental Quality, Department of	Prevention of Significant Deterioration and Self-Monitoring Ambient Monitoring File	17360
Environmental Quality, Department of	Regional Offices Air Quality File – Mooresville	17117
Environmental Quality, Department of	Regional Offices Air Quality File – Washington	24948
Environmental Quality, Department of	Regional Offices Air Quality File – Fayetteville	24975
Environmental Quality, Department of	Regional Offices Air Quality File – Wilmington	25321
Environmental Quality, Department of	Regional Offices Air Quality File – Asheville	25441
Environmental Quality, Department of	Regional Offices Air Quality File – Winston-Salem	25479
Environmental Quality, Department of	Water Quality Enforcement Actions File	33931
Environmental Quality, Department of	Well Abandonment File	47425
Environmental Quality, Department of	Well Records File	2644
Labor, Department of	Boiler Safety Bureau Accidents File	27213
Labor, Department of	Growers File	31458
Labor, Department of	Imperial Foods Hamlet Fire Records	35332
Labor, Department of	Occupational Safety and Health Inspections Cases File	46018

Appendix

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
Ethics Commission, North Carolina State	Ethics Commission Rulings File	21538
Judicial Standards Commission, North Carolina	Dismissed After Formal Investigation File	50546
Judicial Standards Commission, North Carolina	Dismissed Without Formal Investigation File	50545
State Bar, North Carolina	Staff Attorney Working Disciplinary File	48087
State Bar, North Carolina	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
Health and Human Services, Department of	Division of Medical Assistance Hearing Appeals File	48347
Health and Human Services, Department of	Preadmission Screening Annual Review Mental Health File	43506

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.

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

1333.A Investigation and Hearing 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
Elections, North Carolina State Board of	Transcripts of Hearings File	3278

Confidentiality Provisions for Specific Agencies

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.

13.1: Assistance Records

Agency	Citation
State Bar, North Carolina	27 NCAC 01D.0103(b) G.S. § 132-1.1(a)

13.2 Authorizing and Licensing

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

Agency	Citation
Agriculture and Consumer Services, Department of	G.S. § 106-579.11
Banks, North Carolina Office of the Commissioner of	G.S. § 53-208.59 G.S. § 53-244.050(i) G.S. § 53-334(b) G.S. § 53-348(c) G.S. § 54B-63 G.S. § 53C-2-7(b) G.S. § 53C-10-103(c) G.S. § 53C-10-202(d) G.S. § 54C-60 04 NCAC 16G .0106 04 NCAC 16I .0803
Cemetery Commission, North Carolina	G.S. § 65-54.1
Environmental Quality, Department of	G.S. § 113-170.3 G.S. § 143B-289.52(h)
Health and Human Services, Department of	G.S. § 130A-304
Occupational Licensing Boards	G.S. § 93B-8 G.S. § 93B-14



Agency	Citation
Public Safety, Department of	G.S. § 74C-8(g) G.S. § 74C-8.1
Secretary of State, Department of the	G.S. § 10B-7(b) G.S. § 10B-106(d)
State Bar, North Carolina	G.S. § 84-24 27 NCAC 01D .1720
Transportation, Department of	G.S. § 20-7(b2) G.S. § 20-7(e) G.S. § 20-17.1(e) 5 USC § 552a

Appendix

1332: Evaluations and Inspections

Agency	Citation
Banks, North Carolina Office of the Commissioner of	G.S. § 53-144 G.S. § 53-161 G.S. § 53-184 G.S. § 53-208.55 G.S. § 53-208.59 G.S. § 53-224.24 G.S. § 53-244.115 G.S. § 53-320 G.S. § 53-326 G.S. § 53-367 G.S. § 53-375 G.S. § 53-402 G.S. § 53C-2-7(b) G.S. § 53C-4-12(b) G.S. § 53C-8-4 G.S. § 53C-8-5 G.S. § 54B-56 G.S. § 54C-54





Agency	Citation
Environmental Quality, Department of	G.S. § 143-215.3C G.S. § 143-215.80
Health and Human Services, Department of	G.S. § 130A-12 G.S. § 130A-15(b)

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

Agency	Citation
Banks, North Carolina Office of the Commissioner of	G.S. § 53-186 G.S. § 53-208.55 G.S. § 53-244.115 G.S. § 53-244.120 G.S. § 53-253 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-9-301(b) 04 NCAC 03B .0227(c)
Cemetery Commission, North Carolina	G.S. § 65-54.1
Environmental Quality, Department of	G.S. § 143-215.9D G.S. § 143-215.80
General Contractors, North Carolina State Licensing Board for	G.S. § 87-15.3
Health and Human Services, Department of	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
Judicial Standards Commission, North Carolina	G.S. § 7A-377



Agency	Citation
Refrigeration Examiners, State Board of	G.S. § 87-59(e)
Secretary of State, Department of the	G.S. § 55-1-33 G.S. § 55A-1-33 G.S. § 57D-1-33 G.S. § 78A-45(b1) G.S. § 78A-50(c) G.S. § 78C-26(b1) G.S. § 78C -31(c) G.S. § 78D-21
State Bar, North Carolina	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

Appendix

Authority Provisions for Specific Agencies

1326: Registries

Agency	Citation
Health and Human Services, Department of	42 CFR 483.156



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 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.

14

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>):

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



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.


14.1

RC No.	Record Types	Disposition Instructions	Citation
1411.1 	<p>Applications</p> <p>Claims forms submitted to request assistance and determine eligibility; includes evaluations and other related records for claims that are denied</p> <p><i>NOTE: Approved claims should be included with the Case Records.</i></p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10 34 CFR 361.49</p>
1412.3 	<p>Case Records (1 of 3)</p> <p>Records concerning recipients of assistance and support services; includes applications, referrals, assessments, forms, contacts, service and rehabilitation plans, authorizations, evaluations, and other related records</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 3 years</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 132-1.10 34 CFR 361.49</p>
1412.20 	<p>Case Records (2 of 3) – Department of Public Instruction</p> <p>Records maintained by the Department of Public Instruction concerning recipients of early learning sensory support</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 20 years Ω</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>20 USC 1439 42 USC 1320d</p>
1412.< 	<p>Case Records (3 of 3) – Administrative Office of the Courts</p> <p>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</p>	<p>RETAIN UNTIL: Juvenile reaches age 21</p> <p>THEN: Destroy*</p>	<p><u>Confidentiality</u></p> <p>G.S. § 7B-601(c)</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.

RC No.	Record Types	Disposition Instructions	Citation
1413.3 	Eye Disability Reports – Department of Health and Human Services 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

14.1

* 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.




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.

14.2

RC No.	Record Types	Disposition Instructions	Citation
1421.A 	Adoption Case Records – Department of Health and Human Services 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 – Department of Health and Human Services 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 SEE ALSO: Accounting (FINANCIAL MANAGEMENT)	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
1423.A 	Interstate Foster Care Case Records – Department of Health and Human Services 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

* 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	Disposition Instructions	Citation
1431.A	<p>Apprenticeship and On-the-Job Training Master Craftsman Program Records (1 of 2) – North Carolina Community College System Office</p> <p>Standards, registration forms, listings of work processes, and other related records for apprenticeship programs overseen by the North Carolina Community College System Office</p>	PERMANENT (archival) ∞	
1431.7	<p>Apprenticeship and On-the-Job Training Master Craftsman Program Records (2 of 2) – North Carolina Community College System Office</p> <p>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</p>	<p>RETAIN UNTIL: Complete or canceled</p> <p>PLUS: 7 years Ω</p> <p>THEN: Destroy</p>	<p><u>Retention</u></p> <p>29 CFR 30.18(b)</p>
1432.3	<p>Business Enterprise Program Records – Department of Health and Human Services</p> <p> 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</p>	<p>RETAIN UNTIL: Inactive</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>34 CFR 361.38</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.

RC No.	Record Types	Disposition Instructions	Citation
1433.A	<p>Employer Workforce Records (1 of 6) – Department of Commerce</p> <p>Notifications received by the Department of Commerce from companies or businesses concerning plant closings and layoffs</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	PERMANENT (archival) ∞	<p><u>Authority</u></p> <p>20 CFR Part 639</p>
1433.5-1	<p> Employer Workforce Records (2 of 6) – Department of Commerce</p> <p>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</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Inactive</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Confidentiality</u></p> <p>G.S. § 96-4(x)</p> <p><u>Retention</u></p> <p>G.S. § 132-3(c)</p>
1433.5-2	<p> Employer Workforce Records (3 of 6) – Department of Commerce</p> <p>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</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 96-9.6(d)</p> <p><u>Confidentiality</u></p> <p>G.S. § 96-4(x)</p> <p><u>Retention</u></p> <p>G.S. § 132-3(c)</p>
1433.5-3	<p>Employer Workforce Records (4 of 6) – Department of Commerce</p> <p>Records submitted to the Department of Commerce documenting workforce needs that cannot be met within the citizen population and require foreign laborers</p> <p>SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Received</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</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.

RC No.	Record Types	Disposition Instructions	Citation
1433.4 	Employer Workforce Records (5 of 6) – Department of Commerce Records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce, that are deemed eligible SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Determination PLUS: 4 years Ω THEN: Destroy	<u>Confidentiality</u> IRS Publication 1075 <u>Retention</u> DOL ETA handbook
1433.1 	Employer Workforce Records (6 of 6) – Department of Commerce Records concerning federal tax credit authorizations for employers, as submitted to the Department of Commerce, that are deemed ineligible SEE ALSO: Tax Credit Authorizations (FINANCIAL MANAGEMENT)	RETAIN UNTIL: Determination PLUS: 1 year THEN: Destroy*	<u>Confidentiality</u> IRS Publication 1075 <u>Retention</u> DOL ETA handbook
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 – Department of Commerce 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)

* 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	Disposition Instructions	Citation
1436.5-1 	Unemployment Insurance (UI) Records (1 of 4) – Department of Commerce 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 	Unemployment Insurance (UI) Records (2 of 4) – Department of Commerce UI claim forms that are rejected by the Department of Commerce	RETAIN UNTIL: Received PLUS: 5 years THEN: Destroy	
1436.5-3 	Unemployment Insurance (UI) Records (3 of 4) – Department of Commerce 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 	Unemployment Insurance (UI) Records (4 of 4) – Department of Commerce 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	
1437.T	Workforce Strategic Plans (1 of 2) – Department of Commerce 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 Publications Clearinghouse, State Library of North Carolina	<u>Authority</u> G.S. § 125-11.5 through 11.10
1437.5	Workforce Strategic Plans (2 of 2) – Department of Commerce 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

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

Appendix

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

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
Public Instruction, Department of	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
Health and Human Services, Department of	Adoptions Addenda File	50327
Health and Human Services, Department of	Adult Adoptions Case File	2087
Health and Human Services, Department of	Dismissed Adoption Case File	2089
Health and Human Services, Department of	Indexed Adoption Case File	2090
Health and Human Services, Department of	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
Health and Human Services, Department of	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
Community College System, North Carolina	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
Community College System, North Carolina	Cancelled Apprenticeship Agreements File	21224
Community College System, North Carolina	Completed Apprenticeship Agreements File	21225
Community College System, North Carolina	Veterans Affairs Program File	49072
Community College System, North Carolina	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
Commerce, Department of	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
Commerce, Department of	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>):

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

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	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., Annual Comprehensive Financial Report [ACFR])	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 (1 of 2) Record copies of agency materials published in print or online	Transfer to State Publications Clearinghouse, State Library of North Carolina: a) <i>Publications for sale</i> : 5 copies b) <i>Free publications (printed)</i> : 2 print copies AND an electronic copy, or 10 print copies c) <i>Free publications (no print run)</i> : 1 electronic copy	<u>Authority</u> G.S. § 125-11.5 through 11.10
1513.S	Official Publications (2 of 2) Surplus copies of agency printed materials	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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

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

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

RC No.	Record Types	Disposition Instructions	Citation
1514.5	<p>Publications Management</p> <p>Correspondence and other related records regarding the design and creation of agency publications</p> <p>SEE ALSO: Contracts (LEGAL)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy*</p>	
1515.A	<p>Social Media and Websites (1 of 3)</p> <p>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</p> <p>SEE ALSO: Reference Files (AGENCY MANAGEMENT); Advertisements (below); Audio-Visual Materials (below); Press Releases (below); Announcements (below)</p>	<p>PERMANENT (appraisal required) ∞⁷</p>	
1515.5	<p>Social Media and Websites (2 of 3)</p> <p>Social media sites and other websites containing routine content; also includes comments and private messaging</p> <p>SEE ALSO: Reference Files (AGENCY MANAGEMENT); Advertisements (below); Audio-Visual Materials (below); Press Releases (below); Announcements (below)</p>	<p>RETAIN UNTIL: Posted/Received</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	

⁷ The State Archives can review state agency websites and social media accounts to determine if they should be captured by the Archives. If they appraised as non-archival your analyst will provide guidance for self-capture. Please contact the records analyst for your agency to request an appraisal.

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

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

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



RC No.	Record Types	Disposition Instructions	Citation
1515.S	<p>Social Media and Websites (3 of 3)</p> <p>Other related records produced in planning and executing agency’s online presence</p> <p>SEE ALSO: Reference Files (AGENCY MANAGEMENT); Advertisements (below); Audio-Visual Materials (below); Press Releases (below); Announcements (below); Web Management and Operations Records (INFORMATION TECHNOLOGY)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	

15.1

* 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.

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

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	Disposition Instructions	Citation
1521.P	Awards (1 of 2) Records concerning significant awards by the agency recognizing community contributions	PERMANENT (appraisal required) ∞	
1521.5	Awards (2 of 2) 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 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 SEE ALSO: Complaints (HUMAN RESOURCES); Petitions, Rule Making Proceedings (GOVERNANCE); Improper Conduct Investigations, Investigation and Hearing Records (MONITORING AND COMPLIANCE)	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.

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



RC No.	Record Types	Disposition Instructions	Citation
1523.1	<p>Constituent Requests</p> <p>Includes requests for service or information (RFI)</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	
1524.<	<p>Customer Call Center Recordings</p> <p>Recordings of calls to customer service centers made for quality assurance and training purposes</p> <p>SEE ALSO: Complaints (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy*</p>	
1525.R	<p>External Surveys</p> <p>Surveys distributed to and collected from constituents addressing agency services, policies, and other concerns</p> <p>SEE ALSO: Reporting (AGENCY MANAGEMENT)</p>	<p>RETAIN UNTIL: Reference value ends ±</p> <p>THEN: Destroy</p> <p>Agency Policy: _____</p>	
1526.P	<p>Public Hearings (1 of 2)</p> <p>Minutes and/or transcripts of hearings</p> <p>SEE ALSO: Agency Hearings (LEGAL), Rule Making Proceedings (GOVERNANCE)</p>	<p>PERMANENT</p>	
1526.1	<p>Public Hearings (2 of 2)</p> <p>Agendas, notices, speaker sign-up sheets, and other related records</p> <p>SEE ALSO: Agency Hearings (LEGAL), Rule Making Proceedings (GOVERNANCE)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</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.

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

RC No.	Record Types	Disposition Instructions	Citation
1527.2	<p>Public Records Requests</p> <p>Requests submitted by persons seeking access to agency records and documentation of agency response</p> <p><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></p> <p>SEE ALSO: Accounts Receivable (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</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.

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

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	Disposition Instructions	Citation
1531.1	<p>Acknowledgements</p> <p>Copies of acknowledgements sent to donors</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
1532.S	<p>Donor Lists</p> <p>Contact information for individuals and organizations that have expressed an interest in supporting agency activities</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1533.1	<p>Fund Drive Materials</p> <p>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</p> <p>SEE ALSO: Accounts Receivable (FINANCIAL MANAGEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</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.

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

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	Disposition Instructions	Citation
1541.P	Advertisements (1 of 2) Print or online ads that promote agency initiatives or publicize agency activities and have historical significance	PERMANENT	
1541.S	Advertisements (2 of 2) Routine print or online ads that promote agency initiatives or publicize agency activities	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1542.P	Audio-Visual Materials (1 of 2) Images, recordings, and films produced by or for the agency that have historical significance SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE), Workplace Security Records (RISK MANAGEMENT)	PERMANENT (appraisal required) ∞	
1542.S	Audio-Visual Materials (2 of 2) Routine images, recordings, and films produced by or for the agency SEE ALSO: Governing and Advisory Body Minutes (GOVERNANCE), Workplace Security Records (RISK MANAGEMENT)	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	

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

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

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

RC No.	Record Types	Disposition Instructions	Citation
1544.P	Press Releases (1 of 2) Press releases that have historical significance	PERMANENT (appraisal required) ∞	
1544.S	Press Releases (2 of 2) Routine press releases; includes public service announcements (PSAs)	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1545.A	Speeches (1 of 2) Historical speeches delivered by agency officials	PERMANENT (archival) ∞	
1545.R	Speeches (1 of 2) 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.

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

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	Disposition Instructions	Citation
1551.P	Agendas, Exhibits, and Programs (1 of 2) Agendas, handouts, presentations, and programs produced for agency events and exhibits that have historical significance	PERMANENT (appraisal required) ∞	
1551.S	Agendas, Exhibits, and Programs (2 of 2) 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 (1 of 2) Invitations sent concerning agency events that have historical significance	PERMANENT	
1554.S	Invitations (2 of 2) Routine invitations produced for agency events	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

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

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

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

RC No.	Record Types	Disposition Instructions	Citation
1555.S	<p>Registration Materials</p> <p>Registrations, confirmations, and other logistical materials related to agency events</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1556.S	<p>Training Materials</p> <p>Agendas, handouts, presentations, and other related records produced for agency training events for external audiences</p> <p>SEE ALSO: Coursework (EDUCATION), Employee Training Materials (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</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.

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

Records That Will Transfer to the State Records Center

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

Appendix

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

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

Agency	Series Title	Item Number
Natural and Cultural Resources, Department of	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
Natural and Cultural Resources, Department of	Junior Historian Awards Day File	23100
Natural and Cultural Resources, Department of	North Carolina Awards Committee File	766
Natural and Cultural Resources, Department of	North Carolina 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
Natural and Cultural Resources, Department of	North Carolina Symphony Photographs File	977
Natural and Cultural Resources, Department of	State Historic Sites Documentaries File	4083
Natural and Cultural Resources, Department of	State Parks Public Information Media File	35193

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 Instruction, Department of	News Releases File	1228
Public Safety, Department of	News Releases File	9570

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
Auditor, Office of the State	Speeches File	9464
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
Information Technology, Department of	Center for Geographic Information and Analysis Speeches File	36016
Insurance, Department of	Department of Insurance Speeches File	3376
Investigation, State Bureau of	State Bureau of Investigation Director Speeches File	14020
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
Transportation, Department of	Secretary of Transportation Speeches File	2943
Treasurer, Department of State	State Treasurer Speeches File	50831
Wildlife Resources Commission, North Carolina	Executive Director Speeches File	35977

Appendix

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.

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
Natural and Cultural Resources, Department of	NCMA Exhibition File	857
Natural and Cultural Resources, Department of	NCMA Mary Duke Biddle Gallery File	861
Natural and Cultural Resources, Department of	North Carolina Natural Science Museum Exhibits File	9205
Natural and Cultural Resources, Department of	North Carolina Symphony Publicity File	976
Natural and Cultural Resources, Department of	State Capitol Events File	49234

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](#)
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 - 1631 [Asbestos Management Plan](#)
 - 1632 [Hazardous Materials Management](#)
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 - 1657 [Reasonable Accommodations](#)

1658 [Surveillance Recordings](#)

1659 [Workplace Security Records](#)

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

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.

16.1

RC No.	Record Types	Disposition Instructions	Citation
1611.3+ (1) 	Accident/Incident Reports (1 of 4) Accident or incident reports involving agency customers (adults) SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	RETAIN UNTIL: Settlement or denial of claim PLUS: 3 years THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10
1611.3+ (2) 	Accident/Incident Reports (2 of 4) Accident or incident reports involving agency customers (minors) SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	RETAIN UNTIL: Minor reaches age of 21 THEN: Destroy*	<u>Confidentiality</u> G.S. § 132-1.10
1611.3+ (3) 	Accident/Incident Reports (3 of 4) Accident or incident reports involving agency personnel that do not result in workers' compensation; includes traffic incidents involving State agency vehicles SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	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
1611.3+ (4) 	Accident/Incident Reports (4 of 4) Accident or incident reports that do not result in claims or legal actions SEE ALSO: Accident Reports (LAW ENFORCEMENT), Tort Claims (LEGAL), Workers' Compensation Program Claims (LEGAL)	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	Disposition Instructions	Citation
1612.2	Lost, Stolen, or Damaged Property Reports (1 of 2) 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	Lost, Stolen, or Damaged Property Reports (2 of 2) – State Bureau of Investigation 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	Disposition Instructions	Citation
1621.S 	<p>Agency Disaster Planning</p> <p>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)</p> <p>SEE ALSO: Records Backup Information (INFORMATION TECHNOLOGY)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	<p><u>Authority</u></p> <p>G.S. § 143B-1331</p> <p><u>Confidentiality</u></p> <p>G.S. § 126-24</p> <p>G.S. § 132-1.7</p>
1622.1	<p>Alerts – Department of Public Safety and State Highway Patrol</p> <p>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</p> <p>SEE ALSO: Missing Persons Records (LAW ENFORCEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p>	
1623.P	<p>Disaster Recovery Records (1 of 3)</p> <p>Administrative records documenting major agency disaster recovery efforts and evaluating their efficacy</p>	<p>PERMANENT</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.

RC No.	Record Types	Disposition Instructions	Citation
1623.3	<p>Disaster Recovery Records (2 of 3)</p> <p>Records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</p>	
1623.A	<p>Disaster Recovery Records (3 of 3) – Department of Public Safety</p> <p>Records concerning disaster recovery efforts coordinated by the Department of Public Safety; also includes Flood Risk Information System data</p> <p>SEE ALSO: Claims and Support Services (PUBLIC ASSISTANCE AND SUPPORT SERVICES)</p>	<p>PERMANENT (archival) ∞</p>	
1624.P	<p>Forest Fire Incident Records – Department of Agriculture</p> <p>a) Forest Service case files for fire investigations</p> <p>b) Forest Service final fire reports</p> <p><i>NOTE: Follow federal retention and disposition instructions for fires occurring on federal land</i></p>	<p>PERMANENT (appraisal required) ∞</p>	
1625.5	<p>Search and Rescue Mission Records – Department of Public Safety</p> <p>Planning and implementation records for search and rescue missions undertaken by the Department of Public Safety</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</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.

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	Disposition Instructions	Citation
1631.1	<p>Asbestos Management Plan</p> <p>Risk assessments, management plans, and abatement/removal records</p> <p>SEE ALSO: Asbestos Training (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Building is demolished</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</p> <p><i>NOTE: If building is sold, transfer records to new owner</i></p>	<p><u>Retention</u></p> <p>29 CFR 1910.1001 (j)(3)(ii)</p>
1632.30	<p>Hazardous Materials Management (1 of 3)</p> <p>Records related to hazardous materials, including biowaste</p> <p>SEE ALSO: Asbestos Management Plan (above)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 years Ω</p> <p>THEN: Destroy</p>	
1632.5	<p>Hazardous Materials Management (2 of 3)</p> <p>Records concerning receipt, maintenance, and disposal of radioactive material</p> <p>SEE ALSO: Asbestos Management Plan (above)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
1632.3	<p>Hazardous Materials Management (3 of 3)</p> <p>Records concerning hazard mitigation plans</p> <p>SEE ALSO: Asbestos Management Plan (above)</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 3 years</p> <p>THEN: Destroy</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.



RC No.	Record Types	Disposition Instructions	Citation
1633.30	<p>Safety Data Sheets</p> <p>Forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency</p>	<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	Disposition Instructions	Citation
1641.1	<p>Certificates of Insurance</p> <p>Records concerning certifications provided by Department of Insurance to state agencies verifying insurance coverage; includes certificates and correspondence</p> <p><i>NOTE: The specific agency receiving certification is record owner</i></p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</p>	
1642.10	<p>Insurance Policies (1 of 2)</p> <p>Records concerning automobile and other liability insurance policies purchased by agency; also includes insurance audits, claims reports, surveys, endorsements, and waivers</p> <p>SEE ALSO: Insurance and Fringe Benefits Plans and Programs (HUMAN RESOURCES)</p> <p><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></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 10 years</p> <p>THEN: Destroy*</p>	
1642.1	<p>Insurance Policies (2 of 2)</p> <p>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</p> <p>SEE ALSO: Insurance and Fringe Benefits Plans and Programs (HUMAN RESOURCES)</p> <p><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></p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy*</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.



RC No.	Record Types	Disposition Instructions	Citation
1643.6	<p>Self-Insurer Certifications</p> <p>Records concerning certificates of self-insurance for workers' compensation</p>	<p>RETAIN UNTIL: Termination of policy and settlement of all claims</p> <p>PLUS: 6 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>G.S. § 97-180</p>

16.4

* 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.

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	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 – Department of Insurance 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

* 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	Disposition Instructions	Citation
1656.S	<p>Loss Control Inspection Reports</p> <p>Self-inspections to identify potential liabilities or hazards that may exist in agency-owned buildings or property</p>	<p>RETAIN UNTIL: Superseded/Obsolete</p> <p>THEN: Destroy</p>	
1657.2	<p>Reasonable Accommodations</p> <p>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</p> <p>SEE ALSO: Civil Rights Records (HUMAN RESOURCES)</p>	<p>RETAIN UNTIL: Closed</p> <p>PLUS: 2 years</p> <p>THEN: Destroy*</p>	<p><u>Authority</u></p> <p>42 USC 12132</p>
1658.<	<p>Surveillance Recordings</p> <p>Surveillance system reports and recordings of public spaces, public facilities, or public assets; includes fixed and mobile cameras (e.g., drones)</p> <p>SEE ALSO: Correctional Facilities Security Recordings (LAW ENFORCEMENT)</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy*</p> <p><i>NOTE: If recording becomes evidence in a personnel investigation or litigation, transfer to appropriate unit or authority</i></p>	
1659.<	<p>Workplace Security Records (1 of 3)</p> <p>Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel; includes visitors' registers and logs tracking access to facilities or resources</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 30 days</p> <p>THEN: Destroy</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.



RC No.	Record Types	Disposition Instructions	Citation
1659.5	<p>Workplace Security Records (2 of 3) – Department of Natural and Cultural Resources</p> <p>Records concerning dive logs maintained by the Department of Natural and Cultural Resources that document incidences of decompression sickness</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 5 years</p> <p>THEN: Destroy</p>	
1659.1	<p>Workplace Security Records (3 of 3) – Department of Natural and Cultural Resources</p> <p>All remaining dive logs maintained by the Department of Natural and Cultural Resources</p>	<p>RETAIN UNTIL: Complete</p> <p>PLUS: 1 year</p> <p>THEN: Destroy</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

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

Appendix

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

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
Investigation, State Bureau of	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
Public Safety, Department of	Division of Emergency Management Disaster File	9800
Public Safety, Department of	Division of Emergency Management Disaster Recovery File	48026
Public Safety, Department of	Division of Emergency Management Federal Emergency Management Agency (FEMA) Region IV File	48021
Public Safety, Department of	Division of Emergency Management Fixed Nuclear Facility Emergency Notification File	37466
Public Safety, Department of	Division of Emergency Management Historical Records File	47961
Public Safety, Department of	Division of Emergency Management Project File	48028
Public Safety, Department of	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
Agriculture and Consumer Services, Department of	North Carolina Forest Service Fire Reports File	2672

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

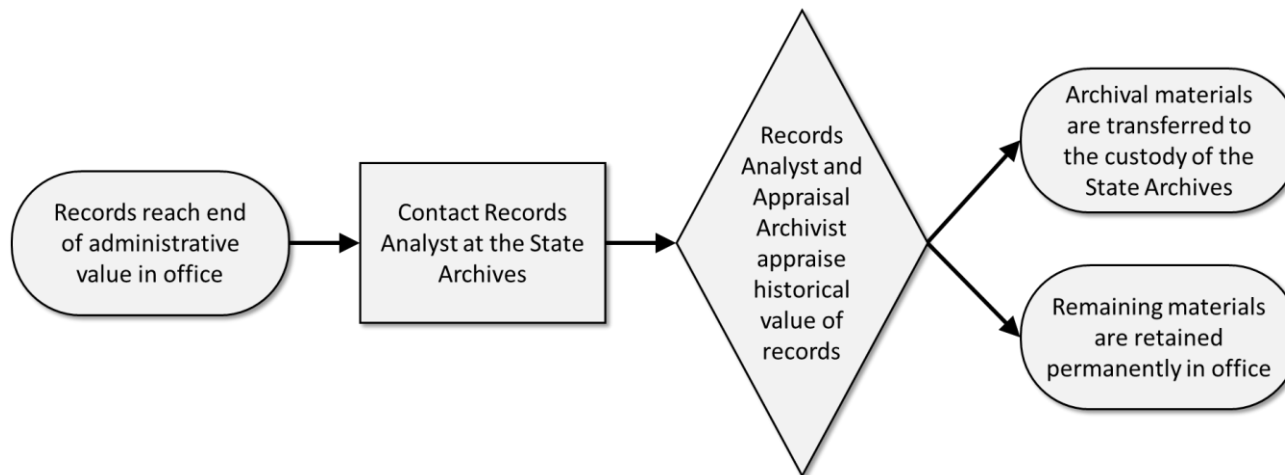
³ *Dictionary of Archives Terminology*

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

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

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

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



- PERMANENT (archival): These records will transfer to the State Records Center so they can be transferred to the custody of the State Archives of North Carolina.

Record Copy

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

Record Custody

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

Reference Value

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

⁴ Ibid.

Transitory Records

North Carolina has a broad definition of public records. However, the Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” They may be disposed of according to the guidance below. However, all public employees should be familiar with the *Functional Schedule for North Carolina State Agencies* and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. When in doubt about whether a record is transitory or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed. Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

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

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

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, as long as these records are not required for audit or legal purposes. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g., a signature or notary’s seal), they should be retained according to the disposition instructions for the records series encompassing the forms’ function.

Key



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

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

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

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

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

A	transfer to the State Archives
P	retain in office permanently or contact the State Archives for appraisal
R	destroy in office when reference value ends (<i>NOTE: Agencies shall establish internal policies to ensure consistency in retention and destructions.</i>)
S	destroy in office when superseded or obsolete
T	transfer completed record to another record series
<	retention period shorter than 1 year
	any numerical designation indicates the number of years the record should be retained. A number followed by a + indicates a retention period that extends less than 12 months beyond the specified number of years

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

Description – a description of the records, often including the types of records that can be frequently found in that series

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

Disposition Instructions – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records. **Note:** No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

Key

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

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

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

Several symbols are used within the disposition instructions:

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

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include Authorities (governing the creation of records), Confidentiality (limiting access to public records), and Retention (setting a retention period).

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