

## Table of Contents

1. Agency Management	
1.1 Establishing Organizational Structure .....	1-3
111 Agency Histories	
112 Organizational Charts	
113 Structure/Restructuring Records	
1.2 Information Management .....	1-4
121 Collected Data	
122 Contact Lists	
123 Indices and Inventories	
124 Records Management Materials	
125 Reference Files	
126 Tracking Materials	
1.3 Operations .....	1-6
131 Accreditation Records	
132 Calendars	
133 Correspondence	
134 Information Sharing Materials	
135 Logistics Materials	
136 Meeting Materials	
137 Membership Records	
138 Procedures	
139 Project Documentation	
1.4 Reporting .....	1-9
141 Reports Received by the Agency	
142 Reports Written by the Agency	
1.5 Strategic Management .....	1-11



- 151 Agency Policies
- 152 Business Plans
- 153 Goals and Mission Statements
- 154 Strategic Plans
- Appendix..... 1-12
- 2. Asset Management ..... 2-3
  - 2.1 Natural and Cultural Resource Management..... 2-3
    - 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 ..... 2-6
    - 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..... 2-9
- 3. Economic Development ..... 3-3
  - 3.1 Business Recruitment and Services ..... 3-3
    - 311 Economic Advancement Plans
    - 312 Historically Underutilized Businesses (HUB) Records





313 Industrial Client Records from the Economic Development Partnership of North Carolina (EDPNC)  
 314 Trade Show Records from the Economic Development Partnership of North Carolina (EDPNC)

3.2 Tourism ..... 3-6

    321 Tourism and Marketing Publications  
 322 Tourism Data  
 323 Welcome Center Records

Appendix..... 3-7

4. Education

4.1 Administration of LEAs ..... 4-4

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

4.2 Credentialing..... 4-7

    421 Coursework  
 422 Participant Information

4.3 Curriculum and Assessment Development ..... 4-8

    431 Assessments  
 432 Course Development  
 433 Curriculum Development  
 434 Lesson Plans



- 4.4 Governor’s School of North Carolina..... 4-9
  - 441 Attendance Lists
  - 442 Classroom Administrative Records
  - 443 Nominations
  - 444 On-Site Administrative Records
  - 445 Student Records
- 4.5 Student Progress..... 4-10
  - 451 Academic Action Authorizations
  - 452 Classroom Grades
  - 453 Cumulative Record
  - 454 Driver Education Program
  - 455 Exam Reports
  - 456 Graduation Lists
  - 457 Parent/Guardian Contacts
  - 458 Services to Students with Disabilities
  - 459 Student Work
  - 4510 Transcript Requests
  - 4511 Transition File
- Appendix..... 4-13
- 5. Financial Management
  - 5.1 Accounting..... 5-4
    - 511 Accounts Payable
    - 512 Accounts Receivable
    - 513 Accounts Uncollectable
    - 514 Disbursing Account Statements
    - 515 Electronic Funds Transfers (EFT)
    - 516 Escheats
    - 517 Fee Schedules



- 518 Financial Reports
- 519 Journals and Ledgers
- 5110 Payment Card Data
- 5111 Reconciliations
- 5112 Travel Requests
- 5.2 Budgeting..... 5-8
  - 521 Budget Development Records
  - 522 Budget Execution and Tracking Records
  - 523 Budget Memos
  - 524 Budgetary Control Document Entries
- 5.3 Grants Management..... 5-10
  - 531 Denied Applications
  - 532 Grants Administered by Agency
  - 533 Grants Issued by Agency
  - 534 Grants Program Administration
  - 535 Grants Received by Agency
- 5.4 Investment Management ..... 5-13
  - 541 Banking Records
  - 542 Bond Records
  - 543 Investment Records
- 5.5 Lending ..... 5-15
  - 551 Awarded Scholarships
  - 552 Evaluations
  - 553 Loan Records
  - 554 Rejected Loan and Scholarship Records
- 5.6 Procurement..... 5-18
  - 561 Bids and Proposals
  - 562 Purchase Orders and Vouchers



- 563 Qualified Products Lists
- 564 Requisitions
- 565 Vendor Records
- 5.7 Tax Management ..... 5-20
  - 571 Assessments and Valuations
  - 572 Delinquent Taxpayer Records
  - 573 Seizure of Property Records
  - 574 Tax Credit Authorizations
  - 575 Tax Forms
  - 576 Tax Returns
- Appendix ..... 5-22
- 6. Governance
  - 6.1 Administering Elections ..... 6-3
    - 611 Campaign Reports
    - 612 Certifications
    - 613 County Abstracts of Votes
    - 614 Elector Records
    - 615 Electoral Petitions
    - 616 Precinct Boundary Maps
    - 617 State Abstracts of Votes
    - 618 Voting Rights Act Records
  - 6.2 Executive Office ..... 6-5
    - 621 Awards
    - 622 Clemency
    - 623 Communications
    - 624 Constituent Services
    - 625 Executive Appointments
    - 626 Executive Orders, Disaster Declarations, and Proclamations



- 627 Extraditions
- 628 Intergovernmental and External Relations
- 629 Legislative Management
- 6210 Ombudsmen
- 6211 Policy and Legal
- 6212 Scheduling
- 6213 Speeches, Press Releases, and Briefings
- 6214 Strategic Planning and Initiatives
- 6.3 Governing and Advising ..... 6-8
  - 631 Appointments to Service
  - 632 Charters and Bylaws
  - 633 Governing and Advisory Body Correspondence
  - 634 Governing and Advisory Body Member Files
  - 635 Governing and Advisory Body Minutes
  - 636 Oaths of Office
  - 637 Statements of Economic Interest (SEI)
- 6.4 Lawmaking and Rulemaking ..... 6-11
  - 641 Administrative Code
  - 642 General Assembly Messages
  - 643 Government Affairs Records
  - 644 House and Senate Proceedings
  - 645 Legislation
  - 646 Legislative Committee Records
  - 647 Petitions
  - 648 Roll Calls and Electronic Votes
  - 649 Rule Making Proceedings
- Appendix..... 6-13
- 7. Healthcare



- 7.1 Administration of Healthcare Facilities ..... 7-5
  - 711 Facility Advocate Records
  - 712 HIPAA Policies
  - 713 Infection Control Records
  - 714 Patient Safety Organization Records
  - 715 Performance Improvement and Quality Assurance Records
  - 716 Registers and Logbooks
  - 717 Scheduling Records
- 7.2 Business Office and Patients'/Residents' Financial Records ..... 7-7
  - 721 Adjusted Patient Accounts
  - 722 Daily Charge Reports
  - 723 Insurance Claims Reports
  - 724 Medicaid and Medicare Records
  - 725 Patient Financial Records
  - 726 Payment Vouchers
- 7.3 Clinical Records..... 7-8
  - 731 Admission/Discharge/Transfer Reports
  - 732 Adult Clinical Records
  - 733 Central Sterile Supply Records
  - 734 Correspondence Log
  - 735 Dental Records
  - 736 Master Patient Index
  - 737 Pediatric Clinical Records
  - 738 Transcription Logs
- 7.4 Health-Related Research and Data..... 7-12
  - 741 Communicable Disease Records
  - 742 Environmental Sciences Testing Records
  - 743 Health Monitoring Programs





744 Immunization Registry (NCIR)

7.5 Laboratory Services ..... 7-14

- 751 Accession Records
- 752 Analytic Systems Records
- 753 Autopsy Records
- 754 Blood Bank Records
- 755 Cytology Records
- 756 Laboratory Register
- 757 Proficiency Testing
- 758 Quality Control
- 759 Test Procedures
- 7510 Toxicology Records

7.6 Nuclear Medicine, Radiation Therapy, and Radiology Records ..... 7-18

- 761 Cardiac Catheter Records
- 762 Daily Statistical Sheets and Logs
- 763 Imaging Services and Radiographic Records

7.7 Nursing Services..... 7-19

- 771 Call-In Reports
- 772 Daily Staffing Records
- 773 Emergency Department Log
- 774 Emergency Equipment Checklists
- 775 Float Rosters
- 776 Floor Census Records
- 777 Observation Logs
- 778 Private Duty Call Lists

7.8 Pharmacy Records ..... 7-21

- 781 Adverse Drug Reaction Reports
- 782 Drug Disposal Records

- 783 Drug Distribution Records
- 784 Drug Inventories
- 785 Insurance Claim Records
- 786 Medication Storage and Environment Inspection Reports
- 787 Patient Medication Profile
- 788 Prescription Orders
- 789 Schedule II, III, IV, and V Narcotics Records
- 7.9 Social Services and Acute Care Records ..... 7-24
  - 791 Approval for Nursing Home Placement Records
  - 792 Children’s Developmental Service Agency (CDSA) Patient Clinical Records
  - 793 Patient Tracking Records
  - 794 Referrals to County Department of Social Services
- 7.10 Utilization Review Records ..... 7-25
  - 7101 Daily Medicare and Medicaid Logs
  - 7102 Financial Classification Logs
  - 7103 Patient Abstract Records
  - 7104 Private Paid Discharge Records
  - 7105 Transfer and Discharge Lists
  - 7106 Utilization Review Plans
- Appendix..... 7-26
- 8. Human Resources
  - 8.1 Administrative Investigations ..... 8-5
    - 811 Complaints
    - 812 Internal Affairs Case Records
  - 8.2 Attendance and Leave ..... 8-6
    - 821 Educational Leave
    - 822 Family Medical Leave Act (FMLA)
    - 823 Leave File





- 824 Military Leave
- 825 Parental Leave
- 826 Shared Leave
- 827 Time Sheets
- 828 Work Schedules
- 8.3 Benefits..... 8-8
  - 831 Benefits Continuation
  - 832 Death Claims
  - 833 Disability Claims
  - 834 Educational Assistance
  - 835 Enrollment Forms
  - 836 Insurance and Fringe Benefits Plans and Programs
  - 837 Retirement Records
  - 838 Unemployment Insurance
- 8.4 Employee Evaluations and Certifications ..... 8-10
  - 841 Aptitude and Skills Testing
  - 842 Certifications and Qualifications
  - 843 Employee Background Checks
  - 844 Employee Polygraphs
  - 845 Performance Management Records
  - 846 Service Awards
  - 847 Verifications of Employment
- 8.5 Payroll Management ..... 8-12
  - 851 Classification and Compensation Records
  - 852 Deduction Registers
  - 853 Garnishments
  - 854 Lapsed Salaries
  - 855 Longevity Pay





- 856 Payroll
- 857 Salary Changes
- 858 Shift Premium Pay
- 859 Statements of Back Pay
- 8.6 Personnel Management ..... 8-14
  - 861 Administrative Records
  - 862 Aggregate Service History
  - 863 Apprentice, Intern, and Volunteer Records
  - 864 Civil Rights Cases
  - 865 Civil Rights Records
  - 866 Disciplinary Actions
  - 867 Dual and Secondary Employment
  - 868 Employee Medical Records
  - 869 Employee Suggestions and Surveys
  - 8610 Employment Eligibility Verification
  - 8611 Exit Interviews
  - 8612 Grievances
  - 8613 Occupational Safety and Health Administration (OSHA) Records
  - 8614 Personnel Action Requests
  - 8615 Personnel File
  - 8616 Seasonal and Contract Worker Records
  - 8617 Workers' Compensation Program Administration
- 8.7 Position Management ..... 8-20
  - 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..... 8-22
  - 881 Asbestos Training
  - 882 Bloodborne Pathogen Training
  - 883 Employee Training Materials
  - 884 Employee Training Records
  - 885 Hazardous Waste Training
  - 886 Law Enforcement Training
- Appendix..... 8-24
- 9. Information Technology
  - 9.1 Data Administration ..... 9-4
    - 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 ..... 9-6
    - 921 Automated Program Listing Source Code
    - 922 Data Authentication
    - 923 IT Assistance Records
    - 924 Network and System Security Records
    - 925 Network Diagrams
    - 926 System Documentation





927 Technical Program Documentation

928 Voice Over Internet Protocol (VoIP) Records

929 Web Management and Operations Records

Appendix..... 9-9

10. Infrastructure Management

10.1 Construction Management..... 10-3

    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 ..... 10-6

    1021 Aviation Planning Records

    1022 Design Plans

    1023 Dropped Projects Records

    1024 House Moving Records

    1025 Materials Testing Records

    1026 National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records

    1027 Photogrammetric Project Records

    1028 Preconstruction Project Records

    1029 Surplus Property Records

    10210 Surveys and Maps

    10211 Utilities Tip Projects Records

10.3 Transportation Management and Safety ..... 10-10

    1031 Designations Records

    1032 Dredge Reports

    1033 Incident Management Assistance Records

    1034 Infrastructure Inspection Records





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

Appendix..... 10-13

11. Law Enforcement

11.1 Corrections Management..... 11-4

- 1111 Adult Offender Records
- 1112 Correctional Facilities Security Recordings
- 1113 Death Row Inmate Jackets
- 1114 Juvenile Offender Records
- 1115 Offender Management Records
- 1116 Probation Supervision Records
- 1117 Safekeeper Records

11.2 Crime Prevention..... 11-7

- 1121 Agent Records
- 1122 Analysis Records
- 1123 Communications Records
- 1124 Incident Reports
- 1125 Interstate Identification Index (III) System
- 1126 Offender Registries

11.3 Criminal Investigations ..... 11-9





- 1131 Accident Reports
- 1132 Contraband and Seized Property Records
- 1133 Crime Reports
- 1134 Disposition of Charges
- 1135 Evidence Management Records
- 1136 Laboratory Case Records
- 1137 Law Enforcement Case Records
- 1138 Law Enforcement Recordings
- 11.4 Executive Protection and Special Security Event Services..... 11-12
  - 1141 Event Forms
  - 1142 Security Arrangements
- 11.5 Fugitive and Criminal Apprehension and Other Searches..... 11-13
  - 1151 All-Points Bulletins
  - 1152 Arrest Records
  - 1153 Missing Persons Records
  - 1154 Rewards File
  - 1155 Runaways File
- 11.6 Traffic Safety..... 11-15
  - 1161 Automatic License Plate Reader System
  - 1162 Collision Reports
  - 1163 Escorts Records
  - 1164 Traffic Citations and Warnings
- Appendix..... 11-16
- 12. Legal
  - 12.1 Affidavits, Authorizations, and Authentications..... 12-4
    - 1211 Affidavits of Publication
    - 1212 Authentications
    - 1213 Delegation of Authority Records







- 1214 Permissions
- 1215 Release Forms
- 1216 Traffic Ordinances
- 1217 Vehicle and Vessel Titles
- 12.2 Agency Hearings ..... 12-6
  - 1221 Eugenics Compensation Program Records
  - 1222 OAH Case Records
  - 1223 Other Administrative Hearings
  - 1224 Recordings of Hearings
  - 1225 Tort Claims
  - 1226 Workers’ Compensation Program Claims
- 12.3 Contract Management ..... 12-8
  - 1231 Compacts
  - 1232 Contracts
  - 1233 Encroachment Agreements
  - 1234 Real Property Records
  - 1235 Right-of-Way Records
  - 1236 Settlements
  - 1237 Vehicle Titles
- 12.4 Court Records ..... 12-11
  - 1241 Court of Appeals Case Records
  - 1242 Expunctions
  - 1243 Juvenile Court Counselor’s Case Records
  - 1244 Petitions and Motions
  - 1245 Supreme Court Records
- 12.5 Deposited Records..... 12-14
  - 1251 Advance Health Care Directive Registry
  - 1252 Charters





- 1253 Financing Statements
- 1254 Foreign Government Agreements
- 1255 Land Records
- 1256 Licensing Board Reports
- 1257 Ordinances and Regulations
- 12.6 Legal Matters Management ..... 12-17
  - 1261 Attorney General’s Advice and Opinions
  - 1262 Declaratory Rulings
  - 1263 Discrimination Complaint Investigations
  - 1264 General Legal Correspondence
  - 1265 Legal Case Records
  - 1266 Legal Opinions
- 12.7 Vital Records ..... 12-20
  - 1271 Birth Records
  - 1272 Death Records
  - 1273 Divorce Records
  - 1274 Marriage Records
- Appendix ..... 12-22
- 13. Monitoring and Compliance
  - 13.1 Accountability and Oversight ..... 13-3
    - 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..... 13-7
  - 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
  - 1328 Revoked Licenses and Permits
  - 1329 Training Certifications
- 13.3 Enforcement ..... 13-11
  - 1331 Controlled Substances Reporting System
  - 1332 Evaluations and Inspections
  - 1333 Investigation and Hearing Records
  - 1334 Monitoring Surveys and Reports
  - 1335 Unsubstantiated Complaints
- Appendix..... 13-15
- Confidentiality Provisions for Specific Agencies..... 13-21
- Authority Provisions for Specific Agencies ..... 13-23
- 14. Public Assistance and Support Services
  - 14.1 Claims and Support Services..... 14-3
    - 1411 Applications
    - 1412 Case Records
    - 1413 Eye Disability Reports
  - 14.2 Social Services..... 14-5
    - 1421 Adoption Case Records
    - 1422 Child Support Services Records
    - 1423 Interstate Foster Care Case Records





- 14.3 Unemployment Assistance and Workforce Development ..... 14-7
  - 1431 Apprenticeship and On-the-Job Training Master Craftsman Program Records
  - 1432 Business Enterprise Program Records
  - 1433 Employer Workforce Records
  - 1434 Participant Case Records
  - 1435 Performance Measures
  - 1436 Unemployment Insurance (UI) Records
  - 1437 Workforce Strategic Plans
- Appendix..... 14-10
- 15. Public Relations
  - 15.1 Agency Publications..... 15-3
    - 1511 Brochures/Pamphlets
    - 1512 Media File
    - 1513 Official Publications
    - 1514 Publications Management
    - 1515 Social Media and Websites
  - 15.2 Community Relations ..... 15-5
    - 1521 Awards
    - 1522 Constituent Comments, Complaints, and Petitions
    - 1523 Constituent Requests
    - 1524 Customer Call Center Recordings
    - 1525 External Surveys
    - 1526 Public Hearings
    - 1527 Public Records Requests
  - 15.3 Development ..... 15-7
    - 1531 Acknowledgments
    - 1532 Donor Lists
    - 1533 Fund Drive Materials





- 15.4 Marketing and Publicity..... 15-8
  - 1541 Advertisements
  - 1542 Audio-Visual Materials
  - 1543 Forms, Style Sheets, and Templates
  - 1544 Press Releases
  - 1545 Speeches
- 15.5 Programming and Training ..... 15-9
  - 1551 Agendas, Exhibits, and Programs
  - 1552 Announcements
  - 1553 Educational Materials
  - 1554 Invitations
  - 1555 Registration Materials
  - 1556 Training Materials
- Appendix..... 15-10
- 16. Risk Management
  - 16.1 Accidents, Incidents, and Damage..... 16-3
    - 1611 Accident/Incident Reports
    - 1612 Lost, Stolen, or Damaged Property Reports
  - 16.2 Emergency Management..... 16-4
    - 1621 Agency Disaster Planning
    - 1622 Alerts
    - 1623 Disaster Recovery Records
    - 1624 Forest Fire Incident Records
    - 1625 Search and Rescue Mission Records
  - 16.3 Hazardous Materials Management ..... 16-6
    - 1631 Asbestos Management Plan
    - 1632 Hazardous Materials Management
    - 1633 Safety Data Sheets





16.4 Insurance..... 16-8

- 1641 Certificates of Insurance
- 1642 Insurance Policies
- 1643 Self-Insurer Certifications

16.5 Office Safety and Security ..... 16-9

- 1651 Emergency Drills and Equipment Tests
- 1652 Employee Security Records
- 1653 Fire, Health, and Safety Records
- 1654 Fuel Oil Storage Tank Records
- 1655 Inspections
- 1656 Loss Control Inspection Reports
- 1657 Reasonable Accommodations
- 1658 Surveillance Recordings
- 1659 Workplace Security Records

Appendix..... 16-11

