Where are my records?

Complaints

Functional Schedule for North Carolina State Agencies

NC DEPARTMENT OF NATURAL AND CULTURAL RESOURCES
Finding your complaint records on the Functional Schedule is dependent on understanding why you have the records in your office.
Resulted in no official investigation, hearing, or legal proceeding

Lodged by an employee
Lodged against an employee
Lodged against agency
Lodged against a licensee/permittee

None of these
Lodged by an employee

informal Equal Employment Opportunity inquiry process

RC No. 8612: Grievances
Lodged against an employee

complaint lodged against agency personnel that is resolved without investigation, where the employee is exonerated, or that is settled out of court

RC No. 811: Complaints
Lodged against agency

objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency

RC No. 1522: Constituent Comments, Complaints, and Petitions
Lodged against a licensee/permittee

unsubstantiated complaint received about licensees and permittees that does not necessitate an investigation

RC No. 1335: Unsubstantiated Complaints
Led to an official investigation, hearing, or legal proceeding

<table>
<thead>
<tr>
<th>Complaint Type</th>
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<tbody>
<tr>
<td>Lodged by an employee</td>
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<tr>
<td>Lodged against an employee</td>
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<tr>
<td>Lodged against agency</td>
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<tr>
<td>Lodged against a licensee/permittee</td>
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<tr>
<td>Lodged against a provider/contractor</td>
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<tr>
<td>Lodged by a consumer</td>
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</tbody>
</table>

None of these
Lodged by an employee

formal internal grievance process

grievance hearing conducted by the Office of State Human Resources

RC No. 8612: Grievances

These records are the responsibility of OSHR.

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Lodged against an employee

complaint lodged against agency personnel that results in an internal affairs investigation

RC No. 812: Internal Affairs Case Records

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Lodged against agency

complaint that triggers an investigation about ethics or conduct within an agency, such as whistleblower reports or allegations of fraud

RC No. 1316: Improper Conduct Investigations

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Lodged against a licensee/permittee

complaint received about licensees and permittees that leads to an investigation and/or hearing

RC No. 1333: Investigation and Hearing Records

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Lodged against a provider/contractor

complaint received about providers or contractors that alleges noncompliance with Federal nondiscrimination requirements

RC No. 1263: Discrimination Complaint Investigations
Lodged by a consumer

complaint about a private entity filed with and reviewed by the Department of Justice

RC No. 1265.6: Legal Case Records

These records are the responsibility of DOJ.

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Any complaint that does not fall into one of the previously described scenarios is likely to become a legal case record.

RC No. 1265: Legal Case Records
Functions of State Government

So dependent on why you have complaint records in your office, you can find their appropriate retention and disposition instructions in one of four functions:
Functions of State Government

- Agency Mgmt
- Asset Mgmt
- Econ Development
- Education
- Financial Mgmt
- Governance
- Healthcare
- HR
- IT
- Infrastructure Mgmt
- Law Enforcement
- Legal
- Monitoring & Compliance
- Public Assistance & Support Services
- PR
- Risk Mgmt
You can find the names of the Chief Records Officer and the Records Analyst for your agency on our website at:

You can find the Functional Schedule for North Carolina State Agencies on our website at:

https://archives.ncdcr.gov/government/retention-schedules/state-agency-schedules