8. Human Resources

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

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

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

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   822 Family Medical Leave Act (FMLA)
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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 http://ncdoj.gov/About-DOJ/Legal-Services/Legal-Opinions/Personnel-Information-Required-to-Be-Made-Available.aspx.  

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. 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. (These documents are available on the state agency records management documents page at https://archives.ncdcr.gov/documents/state-agency-rm.) 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.

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

* 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.
## Functional Schedule for North Carolina State Agencies (2020)

### 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.

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

* 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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<tr>
<th>RC No.</th>
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</tr>
</thead>
</table>
| 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 | Authority  
5 CFR 1208  
Retention  
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                      | Authority  
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                      | Retention  
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                      | Retention  
04 NCAC 24D .0501(a)  
29 CFR 516.6(a)(1)  

Note: Time sheets that contain only information necessary for payroll purposes are public records, while those that also include personnel information and/or PII may be in part confidential.¹ |
| 828.1  | Work Schedules     | records concerning shift and duty assignments                                                    | **RETAIN UNTIL:** Complete  
PLUS: 1 year  
THEN: Destroy                      |                                      |


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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.
### 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**.

<table>
<thead>
<tr>
<th>RC No.</th>
<th>Record Types</th>
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<th>Disposition Instructions</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>831.3</td>
<td>Benefits Continuation</td>
<td>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])</td>
<td>RETAIN UNTIL: Employee returns or eligibility expires PLUS: 3 years THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>832.3</td>
<td>Death Claims</td>
<td>death claims filed with the Department of State Treasurer by dependents of retired or active employees</td>
<td>RETAIN UNTIL: Settled PLUS: 3 years THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>833.3.1</td>
<td>Disability Claims</td>
<td>short-term disability claims forms and other related records</td>
<td>RETAIN UNTIL: Employee returns or separates PLUS: 3 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td>833.3.2</td>
<td>Disability Claims</td>
<td>disability income plan claims and medical records filed by disabled employees applying to the Department of State Treasurer for disability benefits</td>
<td>RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td>834.3</td>
<td>Educational Assistance</td>
<td>records concerning tuition assistance and reimbursement</td>
<td>RETAIN UNTIL: Reimbursement PLUS: 3 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td>835.6</td>
<td>Enrollment Forms</td>
<td>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</td>
<td>RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy</td>
<td>Retention 45 CFR 164.530(j)</td>
</tr>
</tbody>
</table>

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<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>836.1</td>
<td>Insurance and Fringe Benefits Plans and Programs</td>
<td>records describing health, life, and other insurance and fringe benefit plans and programs available to agency employees</td>
<td>RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy</td>
<td>Retention 29 CFR 1627.3(b)(2)</td>
</tr>
<tr>
<td>837.1</td>
<td>Retirement Records</td>
<td>descriptive information about retirement systems</td>
<td>RETAIN UNTIL: Superseded/Obsolete PLUS: 1 year THEN: Destroy</td>
<td>Retention 29 CFR 1627.3(b)(2)</td>
</tr>
<tr>
<td>837.3</td>
<td></td>
<td>records concerning payment of deferred compensation</td>
<td>RETAIN UNTIL: Payment PLUS: 3 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td>837.7</td>
<td></td>
<td>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</td>
<td>RETAIN UNTIL: Payment PLUS: 7 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td>837.12</td>
<td></td>
<td>annual benefit statements provided to retirement system members by the Department of State Treasurer</td>
<td>RETAIN UNTIL: Creation PLUS: 1 year THEN: Destroy</td>
<td>Confidentiality G.S. § 128-33.1(f) G.S. § 135-6.1(f)</td>
</tr>
<tr>
<td>837.100</td>
<td></td>
<td>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</td>
<td>RETAIN UNTIL: Member joins PLUS: 100 years THEN: Destroy*</td>
<td>Confidentiality G.S. § 128-33.1(f) G.S. § 135-6.1(f) G.S. § 132-1.10 5 USC 552a</td>
</tr>
<tr>
<td>838.3</td>
<td>Unemployment Insurance</td>
<td>forms submitted to the Department of Commerce to report wage records of terminated employees</td>
<td>RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy*</td>
<td></td>
</tr>
</tbody>
</table>
### 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.

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

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</tr>
</thead>
</table>
| 845.3  | Performance Management Records     | records concerning employees’ work plans; includes goals, tasks, values, and performance evaluations | RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy | Retention 25 NCAC 01O .0113  
NOTE: Only performance evaluations are confidential. |
| 846.2  | Service Awards                     | records concerning employees receiving awards                                | RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy |                                                                          |
| 847.1  | Verifications of Employment        | inquiries and responses concerning verification of an employee’s prior or current employment with the agency | RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy |                                                                          |
## 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).

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

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</tr>
</thead>
<tbody>
<tr>
<td>856.5</td>
<td>Payroll</td>
<td>records concerning salaries paid to employees (including employed apprentices or students, interns, contract employees, and temporary employees)</td>
<td>RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*</td>
<td>Authority 29 CFR 516.30(a)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Confidentiality G.S. § 132-1.102</td>
</tr>
<tr>
<td></td>
<td>SEE ALSO: Electronic Funds Transfers (FINANCIAL MANAGEMENT)</td>
<td></td>
<td></td>
<td>Retention 04 NCAC 24D .0501(a) 29 CFR 516.5(a) 29 CFR 1627.3(a)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>records concerning benefits paid by Department of State Treasurer to retired employees or their beneficiaries</td>
<td>RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td>857.T</td>
<td>Salary Changes</td>
<td>notifications of salary changes; includes increments and salary increases mandated by legislative action</td>
<td>TRANSFER to Personnel File</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>NOTE: Records documenting current and past salaries should be retained in accordance with the public information provision delineated in G.S. § 126-23.</td>
<td></td>
</tr>
<tr>
<td>858.5</td>
<td>Shift Premium Pay</td>
<td>authorizations and other related records concerning employees receiving shift premium pay</td>
<td>RETAIN UNTIL: Paid PLUS: 5 years THEN: Destroy*</td>
<td>Retention 04 NCAC 24D .0501(a)</td>
</tr>
<tr>
<td>859.3</td>
<td>Statements of Back Pay</td>
<td>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</td>
<td>RETAIN UNTIL: Paid PLUS: 3 years THEN: Destroy*</td>
<td></td>
</tr>
</tbody>
</table>

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

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

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

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

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

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</tr>
</thead>
<tbody>
<tr>
<td>861.P</td>
<td>Administrative Records</td>
<td>agency personnel policies and procedures</td>
<td>PERMANENT</td>
<td></td>
</tr>
<tr>
<td>861.5</td>
<td>SEE ALSO: Workers’ Compensation Program Administration (below)</td>
<td>personnel correspondence and memoranda</td>
<td>RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>861.S</td>
<td>Aggregate Service History</td>
<td>agreements and authorizations required of employees; includes orientation materials and informational data</td>
<td>RETAIN UNTIL: Superseded/Obsolete THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>862.T</td>
<td>Apprentice, Intern, and Volunteer Records</td>
<td>complete history of each employee’s service with the agency</td>
<td>TRANSFER to Personnel File</td>
<td>Authority G.S. § 126-23</td>
</tr>
</tbody>
</table>

(continued on following page)

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<table>
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<th>Description</th>
<th>Disposition Instructions</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>863.5</td>
<td>Apprentice, Intern, and Volunteer Records (cont.)</td>
<td>records concerning participants in apprenticeships, including applications and selection materials as well as aggregated data; also includes affirmative action plans for apprenticeship programs</td>
<td>RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy</td>
<td>Authority 29 CFR 30.4(a) 29 CFR 1602.20 Retention 29 CFR 30.12(d) 29 CFR 1602.21</td>
</tr>
<tr>
<td>864.1</td>
<td>Civil Rights Cases</td>
<td>records concerning discrimination complaints by employees or former employees; includes equal opportunity (EO) complaints</td>
<td>RETAIN UNTIL: Final disposition of the charge or action PLUS: 1 year THEN: Destroy</td>
<td>Retention 29 CFR 1602.14</td>
</tr>
<tr>
<td>864.2</td>
<td>requests for reasonable accommodation by employees or former employees</td>
<td>RETAIN UNTIL: Obsolete PLUS: 2 years THEN: Destroy</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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<tr>
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<th>Record Types</th>
<th>Description</th>
<th>Disposition Instructions</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>865.3</td>
<td>Civil Rights Records</td>
<td>records concerning documentation of policies and procedures to comply with</td>
<td>RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy</td>
<td>Authority G.S. § 126-19</td>
</tr>
<tr>
<td></td>
<td>SEE ALSO: Civil Rights Cases (above); Reasonable Accommodations (RISK MANAGEMENT)</td>
<td>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</td>
<td></td>
<td>29 CFR 1602.41, 29 CFR 1608.4</td>
</tr>
<tr>
<td></td>
<td>SEE ALSO: Grievances (below); OAH Case Records, Discrimination Complaint Investigations (LEGAL)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>867.1</td>
<td>Dual and Secondary Employment</td>
<td>records concerning employees engaging in dual employment with State government or secondary employment with an outside employer</td>
<td>RETAIN UNTIL: Termination of outside employment PLUS: 1 year THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>867.&lt;</td>
<td>denied requests for outside employment</td>
<td></td>
<td>RETAIN UNTIL: Denial PLUS: 6 months THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>868.30</td>
<td>Employee Medical Records</td>
<td>records concerning asbestos, toxic substances, and bloodborne pathogen exposure</td>
<td>RETAIN UNTIL: Exposure PLUS: 30 years THEN: Destroy</td>
<td>Confidentiality 29 CFR 1910.1030 (h)(1)(iii)</td>
</tr>
<tr>
<td></td>
<td>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</td>
<td></td>
<td>Retention 29 CFR 1910.1020(d)</td>
<td></td>
</tr>
</tbody>
</table>

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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.
### Functional Schedule for North Carolina State Agencies (2020)

<table>
<thead>
<tr>
<th>RC No.</th>
<th>Record Types</th>
<th>Description</th>
<th>Disposition Instructions</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>868.5</td>
<td>Employee Medical Records (cont.)</td>
<td>first aid records of minor job-related injuries</td>
<td>RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy</td>
<td>Retention 29 CFR 1910.1020(d)</td>
</tr>
<tr>
<td>868.1</td>
<td>See also: Workers’ Compensation Program Claims (LEGAL)</td>
<td>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)</td>
<td>RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy</td>
<td>Confidentiality 29 CFR 1630.14(c)(1)</td>
</tr>
<tr>
<td>868.302</td>
<td></td>
<td>remaining employee medical records</td>
<td>RETAIN UNTIL: Employee separation PLUS: 30 years THEN: Destroy</td>
<td>Retention 29 CFR 1910.1020(d)</td>
</tr>
<tr>
<td>869.4</td>
<td>Employee Suggestions and Surveys</td>
<td>records concerning adopted suggestions of employees through the Employee Suggestion (ES) System of the Department of Administration</td>
<td>RETAIN UNTIL: Received PLUS: 4 years THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>869.1</td>
<td></td>
<td>employee surveys, rejected suggestions, and other related records outside of the ES System</td>
<td>RETAIN UNTIL: Received PLUS: 1 year THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>8610.5</td>
<td>Employment Eligibility Verification</td>
<td>employment authorization documents filed with the U.S. Department of Labor</td>
<td>RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy</td>
<td>Retention 20 CFR 656.10(f)</td>
</tr>
<tr>
<td>8610.31</td>
<td></td>
<td>I-9 forms used for verifying the identity and employment authorization of individuals hired for employment in the United States</td>
<td>RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy</td>
<td>Retention 8 USC 1324a(b)(3)</td>
</tr>
</tbody>
</table>

*Note: After separation, destroy records 3 years from date of hire or 1 year from separation, whichever occurs later.*

* 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.
<table>
<thead>
<tr>
<th>RC No.</th>
<th>Record Types</th>
<th>Description</th>
<th>Disposition Instructions</th>
<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>8610.32</td>
<td>Employment Eligibility Verification (cont.)</td>
<td>immigrant or nonimmigrant petitions filed by the agency</td>
<td>RETAIN UNTIL: Employee separation PLUS: 3 years THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8610.1</td>
<td>E-Verify forms</td>
<td>REPEAT UNTIL: Employee separation PLUS: 1 year THEN: Destroy</td>
<td>Retention G.S. § 64-26(b)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Selective Service Registration compliance forms</td>
<td>RETAIN UNTIL: Employee separation PLUS: 1 year THEN: Destroy</td>
<td>Authority G.S. § 143B-421.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8611.1</td>
<td>Exit Interviews</td>
<td>interviews or questionnaires conducted with employees planning to separate from the agency</td>
<td>RETAIN UNTIL: Complete PLUS: 1 year THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8612.2</td>
<td>Grievances</td>
<td>records concerning employee grievances; includes EEO informal inquiry process and formal internal grievance process</td>
<td>RETAIN UNTIL: Resolution PLUS: 2 years THEN: Destroy*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>SEE ALSO: OAH Case Records</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(LEGAL)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8612.5</td>
<td>records concerning hearings conducted by the Office of State Human Resources</td>
<td>RETAIN UNTIL: Resolution PLUS: 5 years THEN: Destroy*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8613.5</td>
<td>Occupational Safety and Health Administration (OSHA) Records</td>
<td>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</td>
<td>RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy</td>
<td>Retention 29 CFR 1904.33 29 CFR 1904.44</td>
</tr>
</tbody>
</table>

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<tr>
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<th>Citation</th>
</tr>
</thead>
</table>
| 8614.T | Personnel Action Requests | records concerning personnel action changes (e.g., hire, termination, retirement, resignation) | TRANSFER to Personnel File  
*NOTE: Records documenting personnel action requests should be retained in accordance with the public information provision delineated in G.S. § 126-23.* | |
| 8615.30 | Personnel File | records that document events in permanent and temporary individuals’ employment history that have long-term consequences for the employee and the agency; also includes dismissals that are not challenged by the employee | RETAIN UNTIL: Separation  
PLUS: 30 years  
THEN: Destroy  
*NOTE: Records should be retained in accordance with the public information provision delineated in G.S. § 126-23.* | Authority  
G.S. § 126-23 |
| 8616.5 | Seasonal and Contract Worker Records | records that document events in an individual’s short-term employment history | RETAIN UNTIL: Separation  
PLUS: 5 years  
THEN: Destroy | |
| 8617.S | Workers’ Compensation Program Administration  
SEE ALSO: Workers’ Compensation Program Claims (LEGAL) | includes program policies, guidelines, and other related records | RETAIN UNTIL: Superseded/Obsolete  
THEN: Destroy | |

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# 8.7 Position Management

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

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

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

<table>
<thead>
<tr>
<th>RC No.</th>
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<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>881.1</td>
<td>Asbestos Training</td>
<td>employee-specific records concerning training programs for the proper management of asbestos</td>
<td>RETAIN UNTIL: Separation PLUS: 1 year THEN: Destroy</td>
<td>Retention 29 CFR 1910.1001 (m)(4)</td>
</tr>
<tr>
<td>882.3</td>
<td>Bloodborne Pathogen Training</td>
<td>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</td>
<td>RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy</td>
<td>Retention 29 CFR 1910.1030 (h)(2)(ii)</td>
</tr>
<tr>
<td>883.5</td>
<td>Employee Training Materials</td>
<td>records concerning the delivery of training to agency personnel; includes training manuals, syllabi and course outlines, and other related records</td>
<td>RETAIN UNTIL: Superseded/Obsolete THEN: Destroy</td>
<td></td>
</tr>
<tr>
<td>884.2</td>
<td>Employee Training Records</td>
<td>employee-specific records documenting the training of agency personnel; includes certificates, transcripts, test scores, selections, and other related records</td>
<td>TRANSFER to Personnel Jacket if training is necessary for current position or could affect career advancement RETAIN REMAINING RECORDS UNTIL: Complete PLUS: 2 years THEN: Destroy</td>
<td>Retention 29 CFR 1602.31 29 CFR 1627.3(b)(1)</td>
</tr>
</tbody>
</table>

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<th>Citation</th>
</tr>
</thead>
<tbody>
<tr>
<td>885.5</td>
<td>Hazardous Waste Training</td>
<td>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</td>
<td>RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy</td>
<td>Authority 29 CFR 1910.120 (p)(8)(iii)</td>
</tr>
<tr>
<td>886.P</td>
<td>Law Enforcement Training</td>
<td>records concerning internal training for law enforcement personnel</td>
<td>PERMANENT</td>
<td></td>
</tr>
</tbody>
</table>
### Records That Will Transfer to the State Records Center

**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.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Series Title</th>
<th>Item Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administration, Department of</td>
<td>Inactive Personnel File</td>
<td>88</td>
</tr>
<tr>
<td>Administrative Hearings, Office of</td>
<td>Inactive Personnel File</td>
<td>18617</td>
</tr>
<tr>
<td>Administrative Office of the Courts</td>
<td>Inactive Personnel File</td>
<td>2324</td>
</tr>
<tr>
<td>Agriculture and Consumer Services, Department of</td>
<td>Inactive Personnel File</td>
<td>242</td>
</tr>
<tr>
<td>Commerce, Department of</td>
<td>Department of Commerce Inactive Personnel File</td>
<td>313</td>
</tr>
<tr>
<td>Division of Employment Security Inactive Personnel File</td>
<td>415</td>
<td></td>
</tr>
<tr>
<td>Division of Workforce Solutions Inactive Personnel File</td>
<td>49952</td>
<td></td>
</tr>
<tr>
<td>Community College System, North Carolina</td>
<td>System Office Inactive Personnel File</td>
<td>19777</td>
</tr>
<tr>
<td>Environmental Quality, Department of</td>
<td>Inactive Personnel File</td>
<td>2484</td>
</tr>
<tr>
<td>Division of Environmental Management Inactive Personnel File</td>
<td>33824</td>
<td></td>
</tr>
<tr>
<td>Health and Human Services, Department of</td>
<td>Inactive Personnel File</td>
<td>1613</td>
</tr>
<tr>
<td>Division of Child Development Inactive Personnel File</td>
<td>7765</td>
<td></td>
</tr>
<tr>
<td>Division of Health Service Regulation Inactive Personnel File</td>
<td>1713</td>
<td></td>
</tr>
<tr>
<td>Division of Medical Assistance Inactive Personnel File</td>
<td>6409</td>
<td></td>
</tr>
<tr>
<td>Division of Mental Health, Developmental Disabilities, and Substance Abuse Services Inactive Personnel File</td>
<td>1890</td>
<td></td>
</tr>
<tr>
<td>Division of Public Health Inactive Personnel File</td>
<td>44004</td>
<td></td>
</tr>
<tr>
<td>Division of Services for the Blind Inactive Personnel File</td>
<td>1659</td>
<td></td>
</tr>
<tr>
<td>Division of Social Services Inactive Personnel File</td>
<td>2101</td>
<td></td>
</tr>
<tr>
<td>DSOHF Black Mountain Neuro-Medical Treatment Center Inactive Personnel File</td>
<td>3497</td>
<td></td>
</tr>
<tr>
<td>DSOHF Broughton Hospital Inactive Personnel File</td>
<td>1957</td>
<td></td>
</tr>
<tr>
<td>DSOHF Caswell Developmental Center Inactive Personnel File</td>
<td>1963</td>
<td></td>
</tr>
<tr>
<td>DSOHF Central Regional Hospital Inactive Personnel File</td>
<td>50480</td>
<td></td>
</tr>
<tr>
<td>DSOHF Cherry Hospital Inactive Personnel File</td>
<td>1966</td>
<td></td>
</tr>
<tr>
<td>DSOHF J. Iverson Riddle Developmental Center Inactive Personnel File</td>
<td>3592</td>
<td></td>
</tr>
</tbody>
</table>

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.
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<thead>
<tr>
<th>Agency</th>
<th>Series Title</th>
<th>Item Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and Human Services, Department of (cont.)</td>
<td>DSOHF Julian F. Keith Alcohol and Drug Abuse Treatment Center Inactive Personnel File</td>
<td>1954</td>
</tr>
<tr>
<td></td>
<td>DSOHF Longleaf Neuro-Medical Treatment Center Inactive Personnel File</td>
<td>1996</td>
</tr>
<tr>
<td></td>
<td>DSOHF Murdoch Developmental Center Inactive Personnel File</td>
<td>1995</td>
</tr>
<tr>
<td></td>
<td>DSOHF O’Berry Neuro-Medical Treatment Center Inactive Personnel File</td>
<td>1998</td>
</tr>
<tr>
<td></td>
<td>DSOHF Walter B. Jones Alcohol and Drug Abuse Treatment Center Inactive Personnel File</td>
<td>2009</td>
</tr>
<tr>
<td></td>
<td>Division of Vocational Rehabilitation Inactive Personnel File</td>
<td>2214</td>
</tr>
<tr>
<td>Housing Finance Agency, North Carolina</td>
<td>Inactive Personnel File</td>
<td>19631</td>
</tr>
<tr>
<td>Information Technology, Department of</td>
<td>Inactive Personnel File</td>
<td>47987</td>
</tr>
<tr>
<td>Insurance, Department of</td>
<td>Inactive Personnel File</td>
<td>2249</td>
</tr>
<tr>
<td>Justice, Department of</td>
<td>Inactive Personnel File</td>
<td>14171</td>
</tr>
<tr>
<td>Labor, Department of</td>
<td>Inactive Personnel File</td>
<td>2448</td>
</tr>
<tr>
<td>Natural and Cultural Resources, Department of</td>
<td>Inactive Personnel File</td>
<td>775</td>
</tr>
<tr>
<td></td>
<td>State Parks Inactive Personnel File</td>
<td>3419</td>
</tr>
<tr>
<td>Occupational Safety and Health Review Commission, North Carolina</td>
<td>Inactive Personnel File</td>
<td>6003</td>
</tr>
<tr>
<td>Public Instruction, Department of</td>
<td>Inactive Personnel File</td>
<td>972</td>
</tr>
<tr>
<td></td>
<td>Education Services for the Deaf and Blind Inactive Personnel File</td>
<td>50094</td>
</tr>
<tr>
<td>Public Safety, Department of</td>
<td>Inactive Personnel File</td>
<td>50798</td>
</tr>
<tr>
<td></td>
<td>North Carolina Air National Guard Individual Military Personnel File</td>
<td>5747</td>
</tr>
<tr>
<td></td>
<td>Private Protective Services Inactive Registered Employees File</td>
<td>3925</td>
</tr>
<tr>
<td></td>
<td>State Highway Patrol Report of Investigation File</td>
<td>35451</td>
</tr>
<tr>
<td>Revenue, Department of</td>
<td>Inactive Personnel File</td>
<td>2856</td>
</tr>
<tr>
<td>Secretary of State, Department of the</td>
<td>Inactive Personnel File</td>
<td>2894</td>
</tr>
<tr>
<td>State Auditor, Office of the</td>
<td>Inactive Personnel File</td>
<td>4081</td>
</tr>
<tr>
<td>State Budget and Management, Office of</td>
<td>Inactive Personnel File</td>
<td>38376</td>
</tr>
<tr>
<td>State Controller, Office of the</td>
<td>Inactive Personnel File</td>
<td>39729</td>
</tr>
<tr>
<td>State Human Resources, Office of</td>
<td>Inactive Temporary Solutions Workforce Personnel File</td>
<td>15403</td>
</tr>
<tr>
<td>State Treasurer, Department of</td>
<td>Inactive Personnel File</td>
<td>16234</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Series Title</th>
<th>Item Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transportation, Department of</td>
<td>Division of Motor Vehicles Inactive Personnel File</td>
<td>3160</td>
</tr>
<tr>
<td></td>
<td>Department of Transportation Inactive Personnel File</td>
<td>2947</td>
</tr>
<tr>
<td>Wildlife Resources Commission</td>
<td>Inactive Personnel File</td>
<td>2745</td>
</tr>
</tbody>
</table>
Audit
The Society of American Archivists *Glossary of Archival and Records 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.

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² [https://www.ncauditor.net/pub42/TypesOfAudits.aspx](https://www.ncauditor.net/pub42/TypesOfAudits.aspx)
³ *A Glossary of Archival and Records Terminology*
Functional Schedule for North Carolina State Agencies

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 citizens?
- Do they have a long-term impact on citizens?
- 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 [link]

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\(^4\) Ibid.
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 responsibility for fulfilling any retention requirements and public records requests. If an agency transfers records to the State Records Center for temporary storage prior to destruction, those records remain in the legal custody of the originating agency. Any records requests must be authorized by the originating agency, and ultimate destruction must also be authorized by that agency. If an agency transfers archival records to the State Records Center, once those records have been accessioned by the State Archives, their legal custody transfers to the State Archives. From that point forward, all records requests should be channeled through the State Archives. In a few instances, records transfer to the State Records Center to be held in permanent security storage (indicated by a © on the functional schedule); in these cases, the records remain in the legal custody of the originating agency.

**Reference Value**

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

**Transitory Records**

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.” 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.

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

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

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

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

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

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

<table>
<thead>
<tr>
<th>Function No.</th>
<th>Sub-function No.</th>
<th>Record Type No.</th>
<th>Retention Abbreviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>15</td>
<td>4</td>
<td>5</td>
<td>A</td>
</tr>
</tbody>
</table>

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:

<table>
<thead>
<tr>
<th>Retention Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>transfer to the State Archives</td>
</tr>
<tr>
<td>P</td>
<td>retain in office permanently or contact the State Archives for appraisal</td>
</tr>
<tr>
<td>R</td>
<td>destroy in office when reference value ends (NOTE: Agencies must establish internal policies to ensure consistency in retention and destructions.)</td>
</tr>
<tr>
<td>S</td>
<td>destroy in office when superseded or obsolete</td>
</tr>
<tr>
<td>T</td>
<td>transfer completed record to another record series</td>
</tr>
<tr>
<td>&lt;</td>
<td>retention period shorter than 1 year</td>
</tr>
</tbody>
</table>

Any numerical designation indicates the number of years the record should be retained

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

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

Disposition Instructions – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records

Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records. **Note:** No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

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

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

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

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

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

Several symbols are used within the disposition instructions:

- ∞ archival records that should transfer to the State Archives for permanent retention
- ⚡ archival records that will transfer to the State Archives in an electronic format
- Ω records that transfer to the State Records Center for temporary storage before destruction
- © records that transfer to the State Records Center for permanent security storage