

RECORDS RETENTION & DISPOSITION SCHEDULE

COLLEGES

IN THE

NORTH CAROLINA COMMUNITY COLLEGE SYSTEM



Issued By:



North Carolina Department of Natural and Cultural Resources
Division of Archives and Records
Government Records Section

May 15, 2019

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**NORTH CAROLINA COMMUNITY COLLEGE SYSTEM
COLLEGES IN THE NORTH CAROLINA COMMUNITY COLLEGE SYSTEM**

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

COLLEGES IN THE NORTH CAROLINA COMMUNITY COLLEGE SYSTEM


do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The colleges agree to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. Confidential records will be destroyed in such a manner that the records cannot be practicably read or reconstructed. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule.

The Colleges in the North Carolina Community College System and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when “*reference value ends.*” The Colleges in the North Carolina Community College System hereby agree that they will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the colleges are not authorized by the Department of Natural and Cultural Resources to destroy these records.

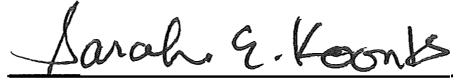
The Colleges in the North Carolina Community College System and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the college. The Colleges in the North Carolina Community College System agree to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same function. Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.

The Colleges in the North Carolina Community College System agree to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



Wanda White, Director of Student Services
North Carolina Community College System

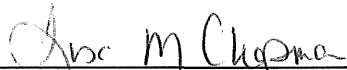


Sarah E. Koonts, Director
Division of Archives and Records

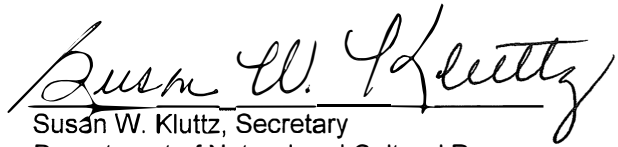


Kimberly Sepich, Associate Vice President for
Student Services
North Carolina Community College System

APPROVED



Lisa Chapman, Senior Vice President/Chief
Academic Officer
North Carolina Community College System



Susan W. Kluttz, Secretary
Department of Natural and Cultural Resources



James "Jimmy" Williamson, President
North Carolina Community College System

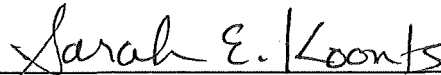
COLLEGES IN THE COMMUNITY COLLEGE SYSTEM

RECORDS RETENTION AND DISPOSITION SCHEDULE

Amend the following items on the records retention and disposition schedule approved July 1, 2016, as shown on the included schedule. All other items on this schedule remain in effect as originally approved.

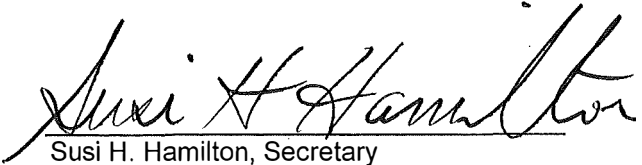
- Boards of Trustees Minutes File (Standard 1, Item 6)
- Loans File (Standard 2, new Item 27)
- Examinations, Tests, and Coursework File (Standard 3, new Item 4)
- Examinations (Master Copies) File (Standard 3, new Item 5)
- Class Reports File (Standard 4, Item 5)
- Current Student Records File (Standard 4, Item 10)
- Financial Aid File (Standard 4, Item 15)
- Grade Reports File (Standard 4, Item 17)
- Loans (State and Federal) File (Standard 4, Item 19)
- Scholarship File (Standard 4, Item 22)
- Services to Students with Disabilities (Standard 4, new Item 24)
- Integrated Library System File (Standard 6, Item 8)

APPROVAL RECOMMENDED



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Susi H. Hamilton, Secretary
Department of Natural and Cultural Resources

President

College: _____

COLLEGES IN THE COMMUNITY COLLEGE SYSTEM

RECORDS RETENTION AND DISPOSITION SCHEDULE

Amend the following items on the records retention and disposition schedule approved July 1, 2016, as shown on the included schedule. All other items on this schedule remain in effect as originally approved.

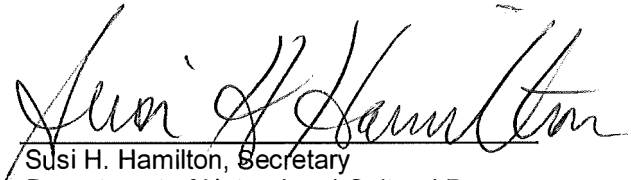
- Capital Improvements File (Standard 2, item 11)
- Check Registers Payroll (Form DCC 2-11) File (Standard 2, item 14)
- Escheats File (Standard 2, item 17)
- Payroll Deductions File (Standard 2, item 31)
- Payroll and Earnings File (Standard 2, item 32)
- Time Sheets, Cards, and Attendance File (Standard 2, item 37)
- Withholding Statements File (Standard 2, item 40)
- Class Reports File (Standard 3, item 3)
- Extension Data File (Standard 3, item 6 – deleted)
- Field Trip Authorizations (Standard 4, new item 15)
- Program Approvals and Terminations File (Standard 4, item 22)
- Insurance Policies File (Standard 7, item 3)
- Eligibility Records File (Standard 8 item 18)
- Leave File (Standard 8, item 26)
- Position Descriptions File (Standard 8, item 36)
- Position Histories File (Standard 8, item 37)
- Workers' Compensation Litigation and Claims File (Standard 8, item 50)

APPROVAL RECOMMENDED



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Susi H. Hamilton, Secretary
Department of Natural and Cultural Resources

President

College: _____

EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may only destroy public records with the consent of the Department of Natural and Cultural Resources (DNCR). The State Archives of North Carolina is the division of DNCR charged with administering a records management program. This schedule is the primary way the State Archives of North Carolina gives its consent. Without approving this schedule, your college is obligated to obtain the State Archives of North Carolina's permission to destroy *any* record, no matter how insignificant.
- ✓ Each records series listed on this schedule has specific disposition instructions that will indicate how long the series must be kept in your office. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your office forever. In other cases, the retention period may be "destroy in office when reference value ends." A college may have reference copies of materials, meaning "a copy of a record distributed to make recipients aware of the content but not directing the recipient to take any action on the matter" (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Your college must establish and enforce internal policies by setting minimum retention periods for the records that the State Archives of North Carolina has scheduled with the disposition instructions, "destroy in office when reference value ends."
- ✓ E-mail is a record as defined by G.S. § 121-5 and G.S. § 132. It is the content of the e-mail that is critical when determining the retention period of a particular e-mail, including attachments, not the media in which the record was created. It is important for all college employees and officials to determine the appropriate records series for specific e-mails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all college employees and officials view the tutorials that are available online through the State Archives website in order to familiarize themselves with records management principles and practices. The State Archives of North Carolina's online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.

MANAGING PUBLIC RECORDS IN NORTH CAROLINA

Q. What is this “records retention and disposition schedule”?

- A.** This document is a tool for the employees of the community colleges across North Carolina to use when managing the records in their offices. It lists records commonly found in college offices and gives an assessment of their value by indicating how long those records should be retained. This schedule is also an agreement between your college and the State Archives of North Carolina.

This schedule serves as the inventory and schedule that the State Archives of North Carolina is directed by G.S. § 121-5(c) and G.S. § 132-8 to provide. It supersedes all previous editions, including all amendments.

Q. Am I required to have all of the records listed on this schedule?

- A.** No, this is not a list of records you must have in your office.
-

Q. What is “reference value”?

- A.** Items containing “reference value” in the disposition instructions are generally records that hold limited value, which is typically restricted to those documenting routine operations within the office. A minimum retention period should be established by the office for any items containing the phrase “destroy in office when reference value ends” in the disposition instructions.
-

Q. Do the sections of this schedule correspond to the organizational structure of my college?

- A.** Records series are grouped into sections (i.e. administrative, personnel, etc.) to make it easier for users to locate records and the corresponding disposition instructions. You may find that the groupings reflect the organizational structure of your college, or you may find that records are located in various sections depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your college.
-

Q. What if I cannot find some of my records on this schedule?

- A.** Sometimes the records are listed in a different section than how you organize them in your office. Be sure to check the Index and utilize the search function on the PDF version of the schedule to facilitate the location of records series. If you still cannot locate your records on the schedule, contact a Records Management Analyst. We will work with you to amend this records schedule so that you may destroy records appropriately.
-

Q. What are public records?

- A.** The *General Statutes of North Carolina*, Chapter 132, provides this definition of public records:

“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. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

Q. Is any person allowed to see my records?

A. Yes, except as restricted by specific provisions in state or federal law. G.S. § 132-6 instructs:

“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. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

Q. What about my confidential records?

A. Not all government records are open to public inspection. Exceptions to the access requirements in G.S. § 132-6 and the definition of public records in G.S. § 132-1 are found throughout the General Statutes. You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

Q. Am I required to make available to the public copies of drafts that have not been approved?

A. Yes, even if a report, permit, or other record has not been finalized, it is still a public record subject to request. Any record that is not confidential by law must be provided when a request is received, whether it is “finished” or not.

Q. What do I do with permanent records?

A. Permanent records should be maintained in the office that created the records, forever.

Q. What is historical value?

A. 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.”¹ 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 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?

Call a Records Management Analyst for further assistance in assessing historical value.

¹ Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (2005)

Q. What if I do not have any records?

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and e-mail, are public records. Even if your records are not the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

Q. May I store our unused records in the basement, attic, shed, etc.?

- A.** Public records are public property. Though we encourage colleges to find places to store records that do not take up too much valuable office space, the selected space should be dry, secure, and free from pests and mold. Your office must ensure that records stored away from your main office area are well protected from natural and man-made problems while remaining readily available to your staff and the public.

Q. Our old records are stored in the attic, basement, or off-site building, etc. Are we required to provide public access to these records?

- A.** Yes, as long as the records are not confidential by law. You should also be aware that confidentiality can expire.

Q. Aren't all of our old records at the State Archives of North Carolina?

- A.** Probably not. The State Archives of North Carolina collects only very specific types of records. Contact a Records Management Analyst for more information about which records can be transferred for storage at the State Records Center.

Q. I found some really old records. What should I do with them?

- A.** Call a Records Management Analyst. We will help you examine the records and assess their historical value.

Q. Who can I call with questions?

- A.** If you are located west of Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. If you are east of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

Q. Why is there an asterisk in the disposition instructions of so many items on this schedule?

A. No record involved in a pending audit, legal, or other official action may be destroyed before that audit or action is resolved.

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold must be preserved and thus must not be destroyed until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the college, requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.), or litigation is pending and the college is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your General Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule.

We have used an asterisk (*) in the disposition instructions to mark records series that are commonly audited, litigated, or may be subject to other official actions. However, any record has this potential. Records custodians are responsible for being aware of potential actions, and for preventing the destruction of any record that is, or may be reasonably expected to become, involved in an audit, legal, or other official action.

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS (PERFORMANCE) FILE**, page 2, item 4, and **AUDITS (FINANCIAL) FILE**, page 12, item 4.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the college should inform records custodians when legal matters are concluded and records will no longer be needed. Following the conclusion of any legal action, the records may be destroyed if they have met the retention period in the schedule. Otherwise, they should be kept for the remaining time period.

TRANSITORY RECORDS

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”²

According to North Carolina General Statutes § 121 and § 132, “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 characteristic, made or received in connection with the transaction of public business by agency of North Carolina government or its subdivisions” is considered a public record and may not be disposed of, erased, or destroyed without specific approval from the Department of Natural and Cultural Resources.

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.” The following questions and answers discuss types of commonly-created transitory records. They may be disposed of according to the guidance below. However, all public employees should be familiar with this Records Retention and Disposition Schedule and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record and seek guidance from a Records Management Analyst.

Q. What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?

- A.** 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) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on this Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

Q. What about research materials, drafts, and other working papers used to create a final, official record?

- A.** Drafts and working papers are materials, including notes and calculations, 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 which 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 college policy that are already formally documented.

² *A Glossary of Archival and Records Terminology*, Richard Pearce-Moses (2005)

Working papers supporting certain financial, legal, and other mission-critical functions, however, may continue to have value even after the final, official copy has been approved. To retain these records appropriately, follow the disposition instructions in this Records Retention and Disposition Schedule.


Q. What if I have forms designed and used solely to create, update, or modify records in an electronic medium?

- A.** If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. 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.

See also the State Archives of North Carolina's guidance on digital signatures found at the following link: <https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

LEGEND FOR RECORDS SCHEDULE

This records retention and disposition schedule applies to records in all media, unless otherwise specified.

	A symbol designating that one or more records in this series may be confidential or may include confidential information.
Item #	An identifying number assigned to each records series for ease of reference.
Series	“A group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, <i>A Glossary of Archival and Records Terminology</i>). Series in this schedule are based on common functions in government offices.
Records Series Title	A short identification of the records in a series, based on their common function.
Series Description	A longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.
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.
Citation	A listing of references to statutes, laws, and codes related to the records series. Citations can include: <ul style="list-style-type: none"> • Authority: governing the creation of records • Confidentiality: limiting access to public records • Retention: setting a retention period

Throughout this schedule, items that cross-reference other items within this schedule are indicated with bold, uppercase letters. If you hover your cursor over one of these items, you will see the hand tool that will enable you to click on the item to follow the link to that location.

Sample records series title and description with cross-reference

AUDITS (FINANCIAL) FILE

Records concerning internal and external audits. File includes reports, working papers, and other records related to the financial status of the college.

See also **AUDITS (PERFORMANCE)**, page 2, item 4.

***No destruction of records may take place if litigation or audits are pending or reasonably anticipated.
See also AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page ix.***



ADMINISTRATION AND MANAGEMENT RECORDS
Official records pertaining to the authority, operating philosophy, methods, and routine office administration of the community college.

1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>ACCREDITATION FILE Records concerning department, college, or program accreditation. File includes correspondence, reports, questionnaires, guides, and other related records.</p>	<p>a) Retain in office final reports permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____</p>	
2.	<p>ACTIVITIES AND EVENTS FILE Records concerning activities and events that are initiated or sponsored by the college. File includes planning records, bulletins, memoranda, circulars, invitations, announcements, and other related records.</p> <p>See also AUDIO AND VIDEO RECORDINGS FILE, page 61, item 1; NEWS RELEASES FILE, page 62, item 6; PHOTOGRAPHS AND SLIDES FILE, page 62, item 7; and SPEECHES FILE, page 63, item 10.</p>	<p>a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____</p>	
3.	<p>ADMINISTRATIVE FILE Records concerning the administration and operations of the college or offices within the college. File includes directives, memoranda, planning documents, and other related records.</p>	<p>Destroy in office when reference value ends.† College Policy: Destroy in office after _____</p>	

1. Administration

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.


† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>AUDITS (PERFORMANCE) FILE</p> <p>Records concerning internal and external audits conducted to assess the function of college programs. Includes reports, working papers, and related records.</p> <p>See also AUDITS (FINANCIAL) FILE, page 12, Item 4.</p>	<p>a) Retain in office reports permanently.</p> <p>b) Destroy in office working papers and remaining records 3 years after the date of the report.</p>	
5.	 <p>AWARDS AND HONORS FILE</p> <p>Records concerning student and alumni awards. File includes applications, nominations, selection criteria, transcripts, press releases, funding data, and other related records.</p>	<p>a) Transfer notification of award to CURRENT STUDENT RECORDS FILE, page 27, Item 10.</p> <p>b) Retain in office list of award recipients permanently.</p> <p>c) Destroy in office remaining records after 5 years.</p>	Confidentiality: 20 USC § 1232g
6.	 <p>BLUEPRINTS AND SPECIFICATIONS FILE</p> <p>Blueprints and specifications of college-owned buildings and facilities. Includes as-built plans and related records concerning approved changes.</p>	<p>a) Transfer to new owner when college relinquishes ownership of building or facility.</p> <p>b) Retain in office for life of structure and then destroy.</p>	Confidentiality: G.S. § 132-1.7
7.	<p>BOARD OF TRUSTEES MINUTES FILE</p> <p>Records concerning the governing body of the college and all subsidiary boards and committees. File includes minutes and agendas, supporting documentation, recordings, transcriptions, and other related records. File also includes authorizations and waivers, biographical information, oaths and other statements, and notices of appointment and resignation.</p>	<p>a) Retain in office official minutes of the governing board and its subsidiary boards permanently.</p> <p>b) Destroy in office member authorizations, waivers, and other statements when superseded or obsolete.</p> <p>c) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	Authority: G.S. § 143-318.10

1. Administration

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.


† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>BUILDING USE AND MAINTENANCE FILE Records concerning space utilization and maintenance of college buildings and facilities. File includes work orders, maintenance reports, maintenance logs, correspondence, and other related records.</p> <p>See also FACILITY MAINTENANCE, REPAIR, AND INSPECTION FILE, page 5, item 15.</p>	<p>a) Destroy in office space utilization records when superseded or obsolete.</p> <p>b) Destroy in office maintenance records 1 year after work is completed.</p>	
9.	<p>CALENDAR OF EVENTS OR APPOINTMENTS FILE Records concerning scheduling and tracking campus activities or events.</p>	Destroy in office when superseded or obsolete.	
10.	<p>COMPLAINTS FILE Records concerning complaints against the college or college affiliates.</p> <p>See also CIVIL RIGHTS CASES FILE, page 50, item 12.</p>	<p>a) Transfer applicable records to COURT CASE (LITIGATION) FILE, page 44, item 2.</p> <p>b) Destroy in office remaining records 2 years after resolution.*</p>	
11.	 <p>CONFERENCES, TRAINING PROGRAMS, AND WORKSHOPS FILE Records concerning conferences, training programs, and workshops conducted by or attended by college personnel. File includes correspondence, agendas, handouts, training materials, surveys, reports, registrations, and other related records.</p>	<p>a) Retain in office final reports and records with historical value permanently.</p> <p>b) Transfer employee-specific records to PERSONNEL FILE (ACTIVE), page 56, item 33 if such training and testing is required for the position held or could affect career advancement.</p> <p>c) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 115D-29

1. Administration

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.

† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12. 	<p>DISASTER PREPAREDNESS AND EMERGENCY MANAGEMENT FILE</p> <p>Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). File includes policies, procedures, emergency telephone numbers, evacuation plans, incident reports, and other related records.</p> <p>See also DISASTER PREPAREDNESS AND RECOVERY PLANS FILE, page 37, item 3.</p>	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7(c)
13.	<p>EQUIPMENT MAINTENANCE AND REPAIR FILE</p> <p>Records concerning routine maintenance or repairs to college equipment. File includes correspondence, work orders, service logs, and other related records.</p> <p>See also VEHICLE MAINTENANCE, REPAIR, AND INSPECTION FILE, page 10, item 36.</p>	Destroy in office 2 years after completion of service.	
14.	<p>EQUIPMENT/SUPPLIES INSTRUCTIONS AND CATALOGS FILE</p> <p>Instruction manuals for equipment and catalogs of equipment or supplies.</p>	Destroy in office when superseded or obsolete.	

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<p>FACILITY MAINTENANCE, REPAIR, AND INSPECTION FILE</p> <p>Records documenting maintenance, repair, and inspection of college owned facilities.</p> <p>See also BUILDING USE AND MAINTENANCE FILE, page 3, item 8.</p>	<p>a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities after 1 year.</p> <p>b) Destroy in office records documenting all other facility maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.</p>	
16.	<p>FUND DRIVES AND DEVELOPMENT FILE</p> <p>Records concerning donations to or solicitations made for college fund drives. File includes records documenting the promotion and organization of fund drives, completed donation forms, and other related records.</p>	<p>Destroy in office after 1 year.</p>	
17.	<p>GRANTS (ADMINISTRATIVE) FILE</p> <p>Records concerning approved federal, state, and private grants. File includes Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records. File also includes applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records.</p> <p>See also GRANTS (FINANCIAL) FILE, page 17, item 24.</p>	<p>a) Destroy in office annual financial reports after 5 years.*</p> <p>b) Destroy in office records not relating to a specific grant or to grants not funded (such as rejected or withdrawn proposals) after 1 year.</p>	<p>Retention: 09 NCAC 03M .0703</p>

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	HISTORY OF THE COLLEGE FILE Records concerning the history of the college and its employees. File includes publications, biographical data, correspondence, photographs, scrapbooks, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	
19.	 OFFICE SECURITY FILE Records concerning the security of the college's offices, facilities, vehicles, equipment, and personnel. File includes emergency telephone numbers, logs, reports, surveillance system reports and recordings, and other related records.	a) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to DISCIPLINARY FILE , page 51, item 16. b) Destroy recordings not required to support known investigations or litigation after 30 days.* c) Destroy in office remaining records after 1 year.	Confidentiality: G.S. § 132-1.7
20.	ORGANIZATIONAL CHARTS FILE Charts detailing the organizational structure of the college.	Destroy in office when superseded or obsolete.	
21.	OTHER COLLEGES FILE Records concerning community colleges, including those in other states.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	
22.	PARKING FILE Records concerning parking assignments. File includes application for parking assignments, reference copies of parking permits, and other related records.	Destroy in office when superseded or obsolete.	

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<p>PLANNING AND DEVELOPMENT FILE</p> <p>Records concerning the planning, development, and implementation of special projects or programs at the college. File includes project plans, proposals, records documenting implementation, and other related records.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
24.	<p>POLICIES AND PROCEDURES FILE</p> <p>Records concerning the formulation, planning, and adoption of policies, procedures, and functions for the college or offices within the college. File includes standards of professionalism and ethics and other related records.</p> <p>See also ELECTRONIC RECORDS POLICIES AND PROCEDURES FILE, page 37, item 4.</p>	<p>a) Retain in office 1 copy of official policies and procedures permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
25.	<p>PRESIDENTIAL PLANNING AND DEVELOPMENT FILE</p> <p>Records concerning the planning, development, and implementation of special projects or programs by the president of the college. File includes comprehensive plans, strategic plans, or project plans. File also includes proposals, records that document implementation, and other related records.</p>	Retain in office permanently.	

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<p>PRESIDENT’S CORRESPONDENCE FILE Correspondence of the president of the college.</p> <p>For information on handling e-mail, voicemail, and text or instant messages, see ELECTRONIC RECORDS, page 65.</p>	Retain in office permanently.	
27.	<p>PUBLICATIONS RECEIVED FILE Records concerning external publications received by the college. File includes subscription records, publications, correspondence, and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
28.	<p>RECORDS MANAGEMENT FILE Records concerning management of college records. File includes records retention and disposition schedules, transfer forms, destruction logs, and other related records.</p>	<p>a) Retain in office documentation concerning the final disposition of records permanently.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
29.	<p>REFERENCE (READING) FILE Subject files containing informational copies of records for reference purposes.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<p>REPORTS FILE</p> <p>Records concerning the performance of a department, program, or project, as well as reports created for planning purposes. Includes all annual, sub-annual, or irregularly prepared reports and self-studies generated by a college or prepared by consultants hired by the college.</p> <p>See also RESEARCH AND STUDIES FILE, page 9, item 32.</p>	<p>a) Retain in office 1 copy of all annual and biennial reports permanently.</p> <p>b) Retain in office reports and studies prepared by request of a college’s governing body permanently.</p> <p>c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years.</p> <p>d) Destroy in office reports prepared on a daily or other periodic basis after 1 year.</p> <p>e) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p> <p><i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i></p>	
31.	<p>REQUESTS FOR INFORMATION FILE</p> <p>Routine inquiries received and responses issued by the college.</p>	Destroy in office after 1 year.	
32.	<p>RESEARCH AND STUDIES FILE</p> <p>Records concerning studies and research projects at the college. File includes outlines, published results, reports, correspondence, and other related records.</p> <p>See also REPORTS FILE, page 9, item 30.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<p>STAFF COMMITTEES FILE</p> <p>Minutes and reports from official college committees, councils, and task forces. (Examples include Admission and Placement; Faculty Council Hours, Degrees, and Awards; Library; Personnel; Program and Development; Research; Student Activities; and Teaching and In-service Training.)</p>	<p>a) Retain in office minutes and reports of significant groups permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
34.	<p>STAFF ORGANIZATIONS FILE</p> <p>Records concerning staff organizations or groups. File includes minutes, reports, newsletters, correspondence, agendas, working papers, and other related records.</p>	<p>a) Retain in office minutes and reports of significant groups permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
35.	<p>SURVEY FILE</p> <p>Completed surveys. File includes survey forms, summary reports, conclusions, and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
36.	<p>VEHICLE MAINTENANCE, REPAIR, AND INSPECTION FILE</p> <p>Records concerning the maintenance, repair, routine testing, inspection, and registration of college-owned vehicles. File includes inspections and other related records.</p> <p>See also VEHICLE TITLES FILE, page 45, item 6.</p>	<p>a) Destroy in office records documenting routine inspections or maintenance after 1 year.</p> <p>b) Destroy in office records documenting all other maintenance and repairs after 3 years.</p>	

1. Administration

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1. ADMINISTRATION, OFFICE, AND MANAGEMENT RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
37.	<p>VEHICLE REQUESTS FILE</p> <p>Requests for use of college-owned vehicles. File includes authorizations, receipts, travel logs, and other related records.</p>	<p>a) Destroy in office travel logs after 1 year.</p> <p>b) Destroy in office remaining records after 3 years.</p>	
38.	<p>VENDOR INFORMATION FILE</p> <p>Records concerning specific vendors. File includes marketing information, price lists, and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	

1. Administration

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BUDGET, FISCAL, AND PAYROLL RECORDS
 Records created and accumulated concerning the managerial control, budgeting, disbursement, collection, and accounting of the community college.


Note: Per 26 CFR 1.148-5(d)(6)(iii)(E), all records necessary to support the tax-exempt status of an agency debt issue must be retained for the life of the debt plus 3 years.

2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCOUNTS PAYABLE FILE Records concerning the status of accounts in which the college owes money to firms or individuals.	Destroy in office 3 years after payment.*	
2.	ACCOUNTS RECEIVABLE FILE Records concerning receivables owed and collected.	Destroy in office 3 years after collection.*	
3.	ACCOUNTS UNCOLLECTABLE FILE Records concerning the status of past-due accounts. File includes copies of notices sent, write-off authorization, and other related records.	Destroy in office 3 years after account is determined to be uncollectable.*	
4.	AUDITS (FINANCIAL) FILE Records concerning internal and external audits. File includes reports, working papers, and other records related to the financial status of the college. See also AUDITS (PERFORMANCE) FILE , page 2, item 4.	a) Retain in office final reports permanently. b) Destroy in office working papers and remaining records 5 years after the date of the report.*	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	BAD CHECKS (RETURNED CHECKS) FILE Records concerning checks written to the college that have been returned for insufficient funds.	Destroy in office after 1 year.*	
6.	BANK STATEMENTS AND RECONCILIATIONS FILE Bank statements for college accounts. File also includes cancelled checks paid by the college, check stubs, reconciliation reports, and other related records.	Destroy in office after 3 years.*	
7.	 BIDS FILE Records concerning requests and responses for price quotes that are used in purchasing equipment, supplies, or services. File includes price quotes, applications, award letters, and other related records concerning accepted and rejected bids.	a) Destroy in office unsuccessful bids after 5 years.* b) Destroy in office successful bids 5 years after expiration.*	Confidentiality: G.S. § 132-1.2(c) 01 NCAC 05B. 0103 Authority: G.S. § 143 Article 8
8.	BUDGET CORRESPONDENCE FILE Correspondence concerning the budget. File also includes budget analysis reports.	Destroy in office after 2 years.*	
9.	BUDGET FILE Records concerning the administration of college budgets. File includes budget requests, budget revisions and changes, worksheets, budget tracking, budget reports, and other related records.	Destroy in office after 3 years.*	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	BUDGET RESOLUTIONS FILE Resolutions to the college's budget as approved by the board of trustees.	Destroy in office after 3 years.*	
11.	 CAPITAL IMPROVEMENTS FILE Records concerning capital improvement projects and construction at the college. File includes accepted proposal, change orders, bid tabulations sheet, progress reports, architects' and engineers' pay applications, contracts, plans, specifications, and correspondence. File also includes budget and financial records related to the capital improvements.	a) Retain in office plans, specifications, and significant correspondence permanently. b) Destroy in office records relating to the expenditure and allocation of the proceeds of bonds 6 years after the final maturity/prepayment date of the bonds or the final maturity/prepayment date of any obligations that refund such bonds or any portion thereof, whichever occurs later. c) Destroy in office other budget and financial records after 3 years.* d) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	Confidentiality: G.S. § 132-1.7
12.	CASH RECEIPTS AND DEPOSITS FILE Records concerning cash receipts and deposits.	Destroy in office after 3 years.*	
13.	CHECK REGISTERS (FORM DCC 2-10) FILE Registers listing all accounts payable checks in numeric sequence. File includes preliminary registers.	a) Destroy in office preliminary registers when reference value ends.† College Policy: Destroy in office after _____ b) Destroy in office remaining registers after 3 years.*	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	CHECK REGISTERS PAYROLL (FORM DCC 2-11) FILE Personal Service Voucher Register listing payroll checks by numerical check number and direct deposits sequence.	Destroy in office after 3 years.*	
15.	DEPOSITS FILE Records concerning receipts that are deposited daily. File includes certified receipts.	a) Destroy in office official/audit copies after 3 years.* b) Destroy in office remaining records after 1 year.	
16.	 DIRECT DEPOSIT APPLICATIONS AND AUTHORIZATIONS FILE Records concerning authorizations for direct deposit funds. File includes bank account numbers and routing numbers.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.10 (b)(5)
17.	ESCHEATS FILE Records concerning escheated funds reverting to the State of North Carolina and credited to the Department of State Treasurer. File includes statements, outstanding checks, and other related records.	Destroy in office after 5 years.*	
18.	FINANCIAL STATEMENTS FILE Records concerning the college's financial position and performance for the fiscal year. File includes balance sheets, statements of income and expenses, budget reports, and other related records.	a) Retain in office official budget reports permanently. b) Destroy in office remaining records after 5 years.*	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	FIXED ASSET (EQUIPMENT INVENTORY) REPORTS FILE Inventories of the college's assets and equipment. File also includes year-end reports.	Destroy in office after 5 years.*	
20.	FUND APPLICATIONS FILE Applications requesting funds for various projects. File includes project proposals, budget records, requests for reimbursement, and other related records.	Destroy in office after 3 years.*	
21.	GENERAL LEDGER DETAIL REPORTS FILE Reports listing all detail transactions for the fiscal year-to-date against all account numbers. File includes June 30 th detail reports.	a) Destroy in office June 30 th detail reports after 3 years.* b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	
22.	GENERAL LEDGER SUMMARY FILE Records concerning college fund transactions. File also includes June 30 th summaries.	a) Retain in office June 30 th summaries permanently. b) Destroy in office remaining ledgers when reference value ends.† College Policy: Destroy in office after _____	
23.	GOODS/MATERIALS RECEIVED REPORTS FILE Reports listing purchase order numbers for goods and materials received during a specified period. File includes packing lists.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p>GRANTS (FINANCIAL) FILE</p> <p>Records concerning approved federal, state, and private grants or projects that are subject to audit. File includes all relevant accounting, purchasing, payroll, and financial records. File also includes reports, correspondence, and other related records.</p> <p>See also GRANTS (ADMINISTRATIVE) FILE, page 5, item 17.</p>	Destroy in office 5 years after submission of final report and when released from all administrative audits.*	Retention: 09 NCAC 03M .0703
25.	<p>INVOICES FILE</p> <p>Records concerning purchased materials for the college. File includes paid invoices, correspondence, packing slips, shipping forms, requisitions, and other related records. File may also include reference copies of checks used to pay for purchase.</p>	Destroy in office after 3 years.*	
26.	<p>JOURNAL ENTRIES FILE</p> <p>Forms used to post budget, encumbrance, and all other journal entry types. File also includes supporting documentation.</p>	Destroy in office after 1 year.*	
27.	<p>LOANS FILE</p> <p>Records concerning loans granted to the college. File includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records.</p>	Destroy in office 5 years after satisfaction or cancellation of loan.	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	MONTHLY REPORT OF EXPENDITURES AND RECEIPTS (FORM DCC 2-12) FILE Summary Expenditures Reports listing expenditures and receipts from state and county funds.	Destroy in office after close of the current fiscal year.*	
29.	 MONTHLY REPORT OF SUBJECT WAGES AND RETIREMENT CONTRIBUTIONS FILE Reports concerning employees' wages and retirement contributions submitted to the North Carolina Department of State Treasurer retirement system. File includes detail report for each employee and summary report.	Destroy in office after 7 years.*	Confidentiality: G.S. § 115D-29
30.	OUTSTANDING ENCUMBRANCE REPORTS FILE Reports listing encumbrances and obligations represented by open purchases. Information listed by account number.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31. 	<p>PAYROLL DEDUCTIONS FILE</p> <p>Records concerning deductions withheld from employees' wages. Deductions may be for insurance, tax-sheltered annuities, charitable contributions, or other non-retirement and non-tax voluntary deductions. File includes records used to start, modify, or stop voluntary or required deductions from payroll.</p> <p>Does not include tax records. See also WITHHOLDING STATEMENTS FILE, page 21, item 40.</p>	<p>Destroy in office 2 years after termination of deduction.*</p>	<p>Confidentiality: G.S. § 115D-29</p> <p>Retention: 29 CFR 516.6(c)(1)</p>
32. 	<p>PAYROLL AND EARNINGS FILE</p> <p>Records concerning payroll for college employees. File includes individual and group employee earnings, deductions, and other related records.</p> <p><i>Note: Personnel File (Active) and Payroll Deductions File are used in combination to provide data to the payroll and all associated reports.</i></p> <p>See also TIME SHEETS, CARDS, AND ATTENDANCE FILE, page 20, item 37.</p>	<p>Destroy in office after 3 years.*</p>	<p>Authority: 26 CFR 31.6001-1 26 CFR 31.6001-4(a) 29 CFR 516.2</p> <p>Confidentiality: G.S. § 115D-29 G.S. § 132-1.10</p> <p>Retention: 29 CFR 516.5 29 CFR 1627.3(a)</p>
33.	<p>PURCHASE ORDERS FILE</p> <p>Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.</p> <p>See also GRANTS (FINANCIAL) FILE, page 17, item 24.</p>	<p>Destroy in office after 3 years.*</p> <p><i>Retention note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i></p>	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	REQUISITIONS FILE Requests concerning purchase of equipment and/or services. File includes requests for funds, reports, and other related records.	Destroy in office after 3 years.*	
35.	SALES TAX FILE Records concerning the collection and payment of sales and use tax.	Destroy in office after 5 years.*	
36.	SUBSIDIARY LEDGERS FILE Records concerning detail accounts in support of general ledgers.	Destroy in office after 3 years.*	
37.	TIME SHEETS, CARDS, AND ATTENDANCE FILE Records documenting the work hours and attendance of employees. See also PAYROLL AND EARNINGS FILE , page 19, item 31.	Destroy in office after 2 years.*	Retention: 29 CFR 516.6
38.	TRAVEL REIMBURSEMENTS FILE Includes requests and authorizations for reimbursement for travel and related expenses. See also GRANTS (FINANCIAL) FILE , page 17, item 24.	Destroy in office after 3 years.*	

2. Budget

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2. BUDGET, FISCAL, AND PAYROLL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	VOUCHER DETAIL AND SUMMARY LISTINGS FILE Records concerning vouchers and disbursements.	Destroy in office after 3 years.*	
40. 	WITHHOLDING STATEMENTS FILE Records concerning individual employees' income taxes. Includes wage and income tax reports, NC Department of Revenue form NC-4, IRS forms W-2, W-3, W-4, and 1099, and similar records of withheld federal and state income taxes. Also includes IRS form 941 and other records of tax liabilities to the IRS and NC Department of Revenue.	a) Destroy in office tax information returns 4 years after submitted to taxpayer and/or IRS.* b) Destroy in office tax withholding forms 4 years after termination of deduction.	Authority: 26 CFR 31.6001-4 29 CFR 1627.3 Confidentiality: G.S. § 115D-29 Retention: 26 CFR 31.6001-1 IRS Publication 15

2. Budget

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.

† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.




CONTINUING EDUCATION RECORDS
 Official records pertaining to the eligibility, academic tracking, and testing of students participating in continuing education programs of the community college. Also includes records created and accumulated for the general administration of continuing education programs. Comply with applicable provisions of 20 USC § 1232g regarding confidentiality of student records.

3. CONTINUING EDUCATION RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<p>ADULT HIGH SCHOOL DIPLOMA COURSE FILE Records concerning students enrolled in adult high school programs. File includes attendance, transcripts, and other related records.</p>	Retain in office permanently.	Confidentiality: 20 USC § 1232g
2. 	<p>APPLICATIONS FOR HIGH SCHOOL EQUIVALENCY CERTIFICATES FILE Records concerning applications for the General Equivalency Diploma (GED) test. File includes completed applications, test results, and other related records.</p> <p><i>Note: As of June 1, 2014, GED testing, transcripts, verifications, and diplomas from 2002 to the present are handled by a private company.</i></p>	<p>a) Records from 1942-2001: transfer test scores for all students who successfully complete the examination of the General Equivalency Diploma (GED) test to the Community Colleges System Office.</p> <p>b) Records from 1942-2001: retain copy in college permanently.</p> <p>c) Destroy in office applications and remaining records resulting in incompleteness or failures after 5 years of inactivity.</p>	Confidentiality: 20 USC § 1232g

3. Continuing Ed

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.



† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

3. CONTINUING EDUCATION RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	<p>CLASS REPORTS FILE</p> <p>Records concerning each continuing education class of instruction offered by the college and the student hours generated. File includes rosters, registration and attendance information, grade books, and other related records. (Note: Some of this information is reported to the System Office in the Institution Class Report.)</p>	Destroy in office after 5 years.	Confidentiality: 20 USC § 1232g
4. 	<p>EXAMINATIONS, TESTS, AND COURSEWORK FILE</p> <p>Records concerning completed student work for instructor-generated assessments.</p> <p>See also EXAMINATIONS (MASTER COPIES) FILE, page 23, item 5.</p>	<p>a) Destroy in office according to any retention requirements by the applicable licensing or credentialing agency.</p> <p>b) Destroy in office remaining records 1 year after completion of course for uncontested grade results.</p> <p>c) If challenged, destroy in office after resolution of challenge.</p>	Confidentiality: 20 USC § 1232g
5.	<p>EXAMINATIONS (MASTER COPIES) FILE</p> <p>Master copies of examinations administered during the school year.</p> <p>Does not include test scores. See also EXAMINATIONS, TESTS, AND COURSEWORK FILE, page 23, item 4.</p>	<p>a) Destroy in office according to any retention requirements by the applicable licensing or credentialing agency.</p> <p>b) Destroy in office remaining records after 1 year.</p>	
6. 	<p>NEW INDUSTRY TRAINING PROGRAM FILE</p> <p>Records concerning applications and funding records for the New Industry Training and NCWorks Customized Training programs.</p>	Destroy in office after 1 year.*	Confidentiality: 20 USC § 1232g

3. Continuing Ed

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.




3. CONTINUING EDUCATION RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7. 	STUDENT REGISTRATION FILE Records concerning student registration in continuing education classes. File includes completed registration forms; records listing student information; dates, titles, locations and instructors of classes; and other related records.	Destroy in office after 1 year.*	Confidentiality: 20 USC § 1232g
8. 	WORKFORCE INNOVATION AND OPPORTUNITY ACT (WIOA) PROJECTS FILE Records concerning eligibility for services at a college under Workforce Innovation and Opportunity Act funding. File includes eligibility requirements, guidelines and procedures, and other related records.	Destroy in office after 3 years.*	

3. Continuing Ed

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page ix.

† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.




CURRICULUM AND STUDENT SERVICES RECORDS
Official records pertaining to the eligibility, academic tracking, advising, testing, and involvement of students enrolled at the community college. Also includes records created and accumulated for curriculum development and reporting. Comply with applicable provisions of 20 USC § 1232g regarding confidentiality of student records.

4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<p>ACADEMIC ACTION AUTHORIZATION FILE Records concerning changes made to students' permanent records. File includes authorizations to change the student record, forms, correspondence, and other related records.</p> <p>See also GRADE CHANGE APPEAL AND AUTHORIZATION FILE, page 29, item 17.</p>	Destroy in office 3 years after student graduates or separates from college.	Confidentiality: 20 USC § 1232g
2. 	<p>APPLICATIONS FOR ADMISSION FILE Applications for admission submitted by individuals who wish to enroll at the college. File includes applications, correspondence, recommendations, transcripts, and other related records.</p>	<p>a) Transfer accepted applications to CURRENT STUDENT RECORDS FILE, page 27, item 10.</p> <p>b) Destroy in office incomplete applications and applications for students who do not enroll after 1 year.</p>	Confidentiality: 20 USC § 1232g
3. 	<p>APPLICATIONS FOR GRADUATION FILE Completed student applications to graduate.</p>	Destroy in office 1 year after student graduates or separates from college.	Confidentiality: 20 USC § 1232g

4. Student Services

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.


† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4. 	ATTENDANCE AND GRADES FILE Instructors' lists of student attendance and grades. For Registrar's copy, see GRADE REPORTS FILE , page 29, item 18.	Destroy in office after 3 years.*	Confidentiality: 20 USC § 1232g
5. 	CLASS REPORTS FILE Records concerning each class of instruction and the student hours generated. File includes rosters, registration and attendance information, grade books, and other related records. (Note: Some of this information is reported to the System Office in the Institution Class Report.)	Destroy in office after 5 years.	Confidentiality: 20 USC § 1232g
6.	COMMENCEMENT FILE Records concerning college commencement. File includes programs, attendance forms, planning records, correspondence, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	
7. 	COURSE ADD/DROP FILE Records concerning student enrollment in college courses.	Destroy in office after 1 year.	Confidentiality: 20 USC § 1232g
8.	COURSE CATALOG FILE Catalogs describing courses offered by the college, including programs of study and degree requirements.	a) Retain one copy in office permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	

4. Student Services

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	COURSE EVALUATIONS FILE Course evaluations completed by students.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	
10. 	CURRENT STUDENT RECORDS FILE Records concerning students currently enrolled. File includes applications for admission, academic transcripts, medical records, aptitude and achievement test results, delinquent account records, grades, degree audits with list of courses taken, number of credits earned, clearance notes, correspondence, and other related records. File also includes athletic eligibility and compliance records. See also INTERNATIONAL STUDENTS FILE , page 30, item 19.	<ul style="list-style-type: none"> a) Transfer academic records to PERMANENT TRANSCRIPT FILE, page 30, item 21. b) Destroy in office delinquent account records when account is settled and when released from all audits.* c) Destroy in office remaining records, including secondary transcripts, 5 years after student graduates or separates from college. 	Confidentiality: 20 USC § 1232g
11.	CURRICULUM PLANNING FILE Records concerning curriculum at the college. File includes academic standing lists, attendance records, dean's lists, graduation data sheets, grade distributions, class schedules, proposed developmental studies, reference copies of Board of Trustees minutes, memoranda, projection data, correspondence, and other related records. See also PROGRAM APPROVALS AND TERMINATIONS FILE , page 31, item 22.	Destroy in office after 5 years.	

4. Student Services

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12. 	<p>EXAMINATIONS, TESTS, TERM PAPERS, AND HOMEWORK FILE</p> <p>Records concerning completed student work for instructor-generated assessments.</p> <p>See also EXAMINATIONS (MASTER COPIES) FILE, page 28, item 13.</p>	<p>a) Destroy in office 1 year after completion of course for uncontested grade results.</p> <p>b) If challenged, destroy in office after resolution of challenge.</p>	Confidentiality: 20 USC § 1232g
13.	<p>EXAMINATIONS (MASTER COPIES) FILE</p> <p>Master copies of examinations administered during the school year.</p> <p>Does not include test scores. See also EXAMINATIONS, TESTS, TERM PAPERS, AND HOMEWORK FILE, page 28, item 12.</p>	Destroy in office after 1 year.	
14. 	<p>FAMILY EDUCATION RIGHT TO PRIVACY ACT (FERPA) COMPLIANCE FILE</p> <p>Records concerning FERPA compliance (20 USCA §1232g). File includes requests for formal hearings, requests for release of information, written decisions of hearing panel, waivers for rights of access, correspondence, and other related records.</p>	Retain in office permanently.	Confidentiality: 20 USC § 1232g
15.	<p>FIELD TRIP AUTHORIZATIONS</p> <p>Includes dates of trips, purpose of trips, trip destinations, itineraries, permission forms, and other related information.</p>	Destroy in office at the end of the academic year.	

4. Student Services

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4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16. 	FINANCIAL AID FILE Records concerning the processing and administration of financial aid awarded to students, including private, state, federal, or institutional student loans, scholarships, and other types of assistance. File includes applications, approvals, accounting records, correspondence, and other related records.	a) Transfer loan records to LOANS (STATE AND FEDERAL) FILE , page 30, item 19. b) Transfer scholarship records to SCHOLARSHIP FILE , page 31, item 22. c) Destroy in office remaining records 3 years after close of award year.* <i>Retention note: Some grants and other aid, such as those administered by the North Carolina State Education Assistance Authority, may require that records be retained for a longer period. In such cases, follow the longer of the retention periods.</i>	Authority: 34 CFR 668.24 Confidentiality: 20 USC § 1232g Retention: 34 CFR 668.24(e)(1)
17. 	GRADE CHANGE APPEAL AND AUTHORIZATION FILE Records concerning appeals or requests to change grades. See also ACADEMIC ACTION AUTHORIZATION FILE , page 25, item 1.	Retain in office permanently.	Confidentiality: 20 USC § 1232g
18. 	GRADE REPORTS FILE Registrar's lists of student grades submitted by instructors for each class taught. For instructor's copy, see ATTENDANCE AND GRADES FILE page 26, item 4.	Destroy in office after 3 years.	Confidentiality: 20 USC § 1232g

4. Student Services

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4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19. 	INTERNATIONAL STUDENTS FILE Records concerning international students enrolled at the college. File includes I-20 (copy of certificate of eligibility for F-1 visa status), copy of alien registration receipt card, copy of arrival-departure record (form I-94), copy of certificate of eligibility for J-1 visa status (DS-2019), statement of financial eligibility, correspondence, and other related records.	Destroy in office 3 years after student graduates or separates from college.*	Authority: 8 CFR 214.2(f) 8 CFR 214.3(k) Confidentiality: 20 USC § 1232g Retention: 8 CFR 214.3(g) 22 CFR 62.10(h)
20. 	LOANS (STATE AND FEDERAL) FILE Records concerning the processing and administration of student loans. File includes applications, correspondence, financial statements, enrollment verifications, cancellation requests, disbursement rosters, repayment records, promissory notes, and other related records. See also FINANCIAL AID FILE , page 29, item 16.	Destroy in office 3 years after loan is canceled, repaid, or otherwise satisfied.* <i>Retention note: Some loans, such as those administered by the North Carolina State Education Assistance Authority or the Department of Education, may require that records be retained for a longer period. In such cases, follow the longer of the retention periods.</i>	Confidentiality: 20 USC § 1232g Retention: 34 CFR 674.19(e)(3)
21. 	PERMANENT TRANSCRIPT FILE Official transcripts listing courses taken, grades received, hours of attendance, credits or quality points received including continuing education credits, degrees or certificates granted, and other related data for each student. See also TRANSFER EQUIVALENTS FILE , page 34, item 36.	Retain in office permanently.	Confidentiality: 20 USC § 1232g

4. Student Services

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4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<p>PROGRAM APPROVALS AND TERMINATIONS FILE Records concerning State Board of Community Colleges program approvals and terminations.</p> <p>See also CURRICULUM PLANNING FILE, page 27, item 11.</p>	Destroy in office when superseded or obsolete.	
23.	 <p>SCHOLARSHIP FILE Records concerning the processing and administration of student scholarships. File includes applications, correspondence, recommendations, approvals, disbursements, accounting records, guidelines, reports, funding sources, trust fund withdrawals, description of scholarships, names of students, accounting records, and other related records.</p> <p>See also FINANCIAL AID FILE, page 29, item 16.</p>	<p>a) Destroy in office rejected applications after 1 year.* b) Destroy in office 3 years after close of award year.*</p> <p><i>Retention note: Some grants and other aid, such as those administered by the North Carolina State Education Assistance Authority, may require that records be retained for a longer period. In such cases, follow the longer of the retention periods.</i></p>	Confidentiality: 20 USC § 1232g
24.	<p>SEMESTER ENROLLMENT SUMMARIES FILE Semester and annual reports sent to the president detailing number of new students, number of classes offered, total enrollment, number of students by curriculum, and other related data.</p>	Destroy in office when superseded or obsolete.	

4. Student Services

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4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25. 	SERVICES TO STUDENTS WITH DISABILITIES Records documenting services provided to students with disabilities. Includes health professional evaluation reports, autobiographical essays, copies of admission applications, high school transcripts, physicians' statements, counseling interview notes, correspondence, and other related records.	Destroy in office 5 years after graduation or separation.	Confidentiality: 20 USC § 1232g
26. 	STANDARDIZED TEST SCORES FILE Records concerning standardized examination scores submitted to the college for placement consideration or for academic credits awarded to students.	a) For enrolled students: destroy in office 3 years after student graduates or separates from college. b) For unenrolled students: destroy in office after 1 year.	Confidentiality: 20 USC § 1232g
27.	STATE RESIDENCY FILE Records concerning student residency in North Carolina.	Destroy in office 3 years after student graduates or separates from college.	
28. 	STUDENT ACADEMIC ADVISEMENT FILE Records concerning student success and individual student advising. File includes advisors' notes and reports, interview forms, student test profiles, aptitude test scores, approved schedule forms, degree audit/program evaluation reports, correspondence, and other related records. File also includes copies of Permanent Academic Records for students experiencing quality point difficulty.	Destroy in office 5 years after student graduates or separates from college.*	Confidentiality: 20 USC § 1232g

4. Student Services

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4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<p>STUDENT ASSOCIATIONS AND ORGANIZATIONS FILE Records concerning student associations and organizations officially recognized by the college. File includes constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, and other related records.</p> <p>See also STUDENT GOVERNMENT ASSOCIATION FILE, page 34, item 33.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
30.	 <p>STUDENT AWARDS AND HONORS FILE Records concerning student awards. File includes recommendations, approvals, reference information, and other related records.</p>	<p>a) Transfer information concerning award recipients to the Registrar’s Office to be incorporated into CURRENT STUDENT RECORDS FILE, page 27, item 10.</p> <p>b) Destroy in office remaining records after 5 years.</p>	Confidentiality: 20 USC § 1232g
31.	 <p>STUDENT CAREER PLANNING FILE Records concerning student career planning and college career resources. File includes resumes, job interview forms, student profile data sheets, and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	Confidentiality: 20 USC § 1232g
32.	 <p>STUDENT DISCIPLINARY FILE Records concerning student violations of academic or non-academic regulations. File includes correspondence, charges, evidence, transcripts, and other related records.</p>	<p>a) Retain expulsion cases in office permanently.</p> <p>b) Destroy in office remaining records after 4 years.*</p>	Confidentiality: 20 USC § 1232g

4. Student Services

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4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<p>STUDENT GOVERNMENT ASSOCIATION FILE</p> <p>Records concerning the student government of the college. File includes constitution, by-laws, committee files, correspondence, fiscal records, meeting minutes, annual reports, and other related records.</p> <p>See also STUDENT ASSOCIATIONS AND ORGANIZATIONS FILE, page 33, item 29.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
34.	<p>STUDENT RECRUITMENT FILE</p> <p>Records concerning prospective students. File includes correspondence and other related records.</p>	Destroy in office after 1 year.	
35.	<p>TRANSCRIPT REQUESTS FILE</p> <p>Requests for transcripts by students.</p>	Destroy in office after 1 year.	Confidentiality: 20 USC § 1232g
36.	<p>TRANSFER EQUIVALENTS FILE</p> <p>Records concerning grade or credit transfer equivalents from other institutions. File includes correspondence, transcripts, lists of credit hours earned, and other related records.</p>	Transfer records to the PERMANENT TRANSCRIPT FILE , page 30, item 21 when equivalencies are determined.	Confidentiality: 20 USC § 1232g
37.	<p>VEHICLE REGISTRATION FILE</p> <p>Records concerning the registration of vehicles on campus. File includes registration forms, license plate numbers, names of owners, and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	

4. Student Services

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

4. CURRICULUM AND STUDENT SERVICES RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38. 	VETERAN STUDENT BENEFITS FILE Records concerning eligibility of student to receive veterans' benefits. File includes accounting statements, applications, correspondence, enrollment verifications, award notifications, and other related records.	Destroy in office 5 years after termination of enrollment and when released from all audits in accordance with Veterans Administration Regulations.	Confidentiality: 20 USC § 1232g Authority: 38 USC 32
39. 	WITHDRAWALS FILE Records concerning student withdrawals from college.	Destroy in office after 3 years.	Confidentiality: 20 USC § 1232g

4. Student Services

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INFORMATION TECHNOLOGY (IT) RECORDS

Information technology encompasses all activities undertaken by the community college to design, develop, and operate electronic information systems. This section covers records for which Information Technology personnel are responsible, including administrative records and those used to process data and monitor and control operations.



Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. § 132-6.1 on the confidentiality of records regarding "hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes." (G.S. § 132-6.1 (c))

5. INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>COMPUTER AND NETWORK USAGE FILE</p> <p>Records concerning usage of electronic devices and networks. File includes login files, system usage files, individual program usage files, records of use of the Internet by employees, and other related records.</p>	Destroy in office after 1 year.	
2.	<p>DIGITIZATION AND SCANNING FILE</p> <p>Records concerning imaging operations. File includes scanning and data entry quality control records, audit reports, and other related records.</p>	Destroy in office after 3 years.	

5. Information Technology

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.



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5. INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	<p>DISASTER PREPAREDNESS AND RECOVERY PLANS FILE Records concerning the protection and reestablishment of data processing services and equipment in the event of a disaster. File includes procedures, contact lists, and other related records.</p> <p>See also DISASTER PREPAREDNESS AND EMERGENCY MANGEMENT FILE, page 4, item 12.</p>	<p>a) Retain in office records documenting past disaster recovery actions permanently.</p> <p>b) Destroy in office all other records when superseded or obsolete.</p> <p><i>Retention Note: Disaster preparedness and recovery plans should be stored in a secure, off-site location.</i></p>	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
4. 	<p>ELECTRONIC RECORDS POLICIES AND PROCEDURES FILE Records concerning electronic records policies and procedures. File includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy.</p> <p>See also POLICIES AND PROCEDURES FILE, page 7, item 24.</p>	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
5.	<p>INFORMATION TECHNOLOGY ASSISTANCE FILE Records concerning troubleshooting and problem-solving assistance provided by college information systems personnel to users of the systems. File includes help desk assistance requests, resolution records, and other related records.</p>	Destroy in office 1 year after work is completed.	

5. Information Technology

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5. INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6. 	NETWORK AND SYSTEM SECURITY FILE Records concerning the security of network and system. File includes records concerning firewalls, anti-virus programs, intruder scanning logs, and other related records.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-6.1(c)
7. 	NETWORK DIAGRAMS FILE Records concerning the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-6.1(c)
8.	PROJECT DOCUMENTATION FILE Records concerning design, development, control, or monitoring of a specific project or group of projects. File includes statements of work, assessments, maintenance agreements, tests, and other related records.	a) Retain in office records documenting data migration permanently. b) Destroy in office remaining records 3 years after completion of project.	
9.	SOFTWARE LICENSE AND COPYRIGHT PROVISIONS FILE Records concerning compliance with college software license and copyright provisions. File includes software licenses, correspondence (including e-mail), and other related records.	Destroy in office 1 year after software is superseded or obsolete.	

5. Information Technology

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

5. INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	SYSTEM ACCESS FILE Records concerning audit trails. File includes user permissions and access to information, programs, and applications within a system.	Destroy in office after 1 year.	
11.	 SYSTEMS AUDITS FILE Records concerning user actions affecting the contents of monitored systems.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-6.1(c)
12.	 SYSTEM DOCUMENTATION FILE Records concerning operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. File includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, current source code, and other related records.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-1.1(g) G.S. § 132-6.1(c)
13.	SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE FILE Records concerning inspections, maintenance, and repairs of college computer systems that are owned or leased. File includes computer equipment inventories, service records, and other related records.	a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year. b) Destroy records documenting all other equipment maintenance and repairs upon the final disposition of the equipment.	

5. Information Technology

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.

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5. INFORMATION TECHNOLOGY RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<p>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS FILE</p> <p>Records concerning regular or essential system backups. File includes backup tape inventories, relevant correspondence (including e-mail), and other related records.</p> <p>See Also: Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files, available on the State Archives of North Carolina website.</p>	<p>Destroy in office in accordance with your office's established, regular backup plan and procedures.†</p> <p>College Policy: Destroy in office after _____</p>	
15.	<p>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE FILE</p> <p>Records concerning 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. File includes server environment configuration specifications and other related records.</p>	<p>Destroy in office when superseded or obsolete.</p>	
16.	<p>WEBSITE FILE</p> <p>Records concerning the creation and maintenance of the college's presence on the World Wide Web. File includes correspondence, procedures, instructions, website designs, HTML/XHTML, or other web-based file formats, and other related records.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	

5. Information Technology

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LEARNING RESOURCE CENTER RECORDS
Records created and accumulated concerning the routine administration of the community college’s learning resource center, including daily operations, resources tracking, and reporting.

6. LEARNING RESOURCE CENTER RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ACCESSION RECORDS FILE Records concerning materials accessioned by the learning resource center. File includes accession or inventory number, bibliographic information, and other related records.	Retain in office permanently.	
2.	ACQUISITIONS FILE Records concerning acquisition of books, periodicals, and other materials for the learning resource center. File includes purchase orders, shipping information, and other related records.	Destroy in office after 1 year.*	
3.	CIRCULATION AND USE FILE Records concerning library resource center use statistics. File includes reports and other related records.	a) Retain in office 1 copy of all annual and biennial reports permanently. b) Destroy in office reports prepared monthly, bimonthly, and semi-annually after 3 years. c) Destroy in office reports prepared on a daily or other periodic basis, workload measurements, and other related records after 1 year.	

6. Learning Resource Center

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

6. LEARNING RESOURCE CENTER RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<p>COPYRIGHT OF INTERLIBRARY COPY REQUESTS FILE Records concerning interlibrary loan transactions involving photocopying journal articles.</p> <p><i>Note: records are maintained to avoid exceeding the five-copy limit for one title during a given 12-month period.</i></p>	Destroy in office after 5 years.	Authority: 17 USC 108(d) 17 USC 108(g)
5.	<p>DISCARDED MATERIALS FILE Records concerning materials withdrawn from learning resource center, transferred to other state agencies or colleges, or destroyed. File also includes records of missing learning resource center materials.</p>	Destroy in office after 5 years.	
6.	<p>NORTH CAROLINA HIGHER EDUCATION DATA (NCHED) AND INTEGRATED POSTSECONDARY EDUCATION DATA SYSTEM (IPEDS) FILE Reports sent to the federal government detailing learning resource center budgets, staff, and collections.</p>	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	Authority: 20 USC 1094, Section 487(a)(17)
7.	<p>INVENTORIES FILE Records concerning learning resource center holdings. File includes lists of books on hand at last inventory, number of books added during year, number of books lost and discarded, and other related records. Files also includes learning resource center inventories not related to holdings.</p>	Destroy in office when superseded or obsolete.	

6. Learning Resource Center

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.


6. LEARNING RESOURCE CENTER RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<p>INTEGRATED LIBRARY SYSTEM FILE</p> <p>Records concerning the learning resource center catalog. File includes bibliographic information, patron information, circulation data, and other related records.</p>	<p>a) Purge cataloging records when superseded or obsolete.</p> <p>b) Destroy in office patron and circulation data when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
9.	<p>INTERLIBRARY LOAN FILE</p> <p>Records concerning interlibrary loan circulation.</p> <p>See also COPYRIGHT OF INTERLIBRARY COPY REQUESTS FILE, page 42, item 4.</p>	<p>Destroy in office after 5 years.</p>	
10.	<p>MEMBERSHIPS FILE</p> <p>Records concerning the learning resource center’s memberships in national databases or associations like OCLC, Lyrisis, or others. File also includes licenses for subscriptions to databases and electronic journals.</p>	<p>Destroy in office 5 years after expiration of agreement.</p>	

6. Learning Resource Center

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LEGAL RECORDS
Official documentation created or accumulated to substantiate the rights, obligations, or interests of the community college, its individual employees, or students.

7. LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>AGREEMENTS, CONTRACTS, AND LEASES FILE Agreements, contracts, and leases for construction projects, equipment, facilities, property, projects, and services. File includes hold harmless agreements, good faith effort documentation, contractor compliance monitoring, leases, memoranda of understanding, and other related records.</p>	<ul style="list-style-type: none"> a) Retain in office contracts and agreements with historical value permanently. b) Destroy in office sealed contract records 10 years after completion, termination, or expiration of contract.* c) Destroy in office capital improvement contracts 6 years after completion, termination, or expiration.* d) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.* 	
2.	 <p>COURT CASE (LITIGATION) FILE Records concerning litigation in which the college is a party. File includes affidavits, agreements, appeals, briefs, citations, commitments, complaints, correspondence, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, writs, and other related records.</p>	<ul style="list-style-type: none"> a) Retain in office cases having precedential or historical value permanently. b) Destroy in office adjudicated cases 5 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 5 years after final disposition or expiration of relevant statute of limitations, whichever occurs later. 	Confidentiality: G.S. § 132-1.1(a)

7. Legal

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.

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7. LEGAL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p>INSURANCE POLICIES FILE</p> <p>Records concerning automobile, theft, fire, and all other insurance policies purchased by the college. File includes insurance policies, claims reports, surveys, waivers, and other related records.</p>	<p>a) Destroy in office automobile and other liability policies and related eligibility records 10 years after termination or expiration of policy.*</p> <p>b) Destroy in office property and casualty policies and related eligibility records 1 year after termination or expiration of policy.*</p> <p>c) Destroy in office other records after 3 years.</p>	
4.	<p>LEGAL OPINIONS FILE</p> <p>Formal legal opinions written by counsel in response to requests concerning the governance and administration of the college.</p>	Retain in office permanently.	
5.	<p>OWNERSHIP RECORDS FILE</p> <p>Records concerning ownership of property. File includes deeds and titles.</p> <p>See also VEHICLE TITLES FILE, page 45, item 6.</p>	Destroy in office 1 year after college relinquishes ownership of property.*	
6.	<p>VEHICLE TITLES FILE</p> <p>Titles of state-owned vehicles under the jurisdiction of the college.</p> <p>See also OWNERSHIP RECORDS FILE, page 45, item 5.</p>	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	Authority: G.S. § 20-72
7.	<p>WARRANTIES FILE</p> <p>Records concerning warranties that accompany equipment purchased by the college.</p>	<p>a) Destroy in office 1 year after expiration.</p> <p>b) Transfer with equipment when college relinquishes ownership of property.</p>	

7. Legal

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.


PERSONNEL RECORDS
Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of community college employees. Comply with applicable provisions of G.S. § 115D-29 regarding confidentiality of personnel records.

8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITIONS FILE Records concerning positions that have been abolished. File includes job titles, position descriptions, and other related records.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	
2.	 ACCIDENT REPORTS FILE Records concerning accidents or incidents. File includes reports, OSHA Log, affidavits, photographs, and other related records.	a) Transfer records resulting in workers' compensation to WORKERS' COMPENSATION LITIGATION AND CLAIMS FILE , page 60, item 50. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office non-employee accident reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years. e) Destroy in office reports of minors after minor has reached age of 21.	Confidentiality: G.S. § 97-92(b)
3.	ADDRESSES FILE Records concerning employee contact information. File includes address and telephone numbers.	Destroy in office when superseded or obsolete.	

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	AGGREGATE SERVICE HISTORY FILE Records concerning employee's service with the college. File includes yearly leave recapitulations, listings of total time worked, and other related records.	a) Transfer records necessary for retirement or similar benefits verification to PERSONNEL FILE (ACTIVE) , page 56, item 33. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	
5.	 ALCOHOL AND DRUG PREVENTION FILE Records concerning a college's alcohol misuse and controlled substances use prevention programs. Includes test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related documents.	a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug & Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years. b) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year. c) Destroy in office remaining records after 3 years. <i>Retention Note: Records should be maintained in a location with controlled access.</i>	Confidentiality: G.S. § 115D-29
6.	ALLOCATED LISTS FILE Listings of classification titles, position numbers, and names of incumbents in job positions.	Destroy in office when superseded or obsolete.	

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	APPLICANT SUMMARY FILE Records concerning collected Equal Employment Opportunity Commission (EEOC) data regarding applicants who apply for advertised positions.	Destroy in office after 2 years.	
8.	 APPLICATIONS FOR EMPLOYMENT FILE Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. File includes completed applications, transcripts, resumes, letters of reference, and other related records. File also includes records concerning applicant selection, interview documentation, background and criminal history checks, justification statements, and other related records.	a) Transfer applications, resumes, and other records as applicable to PERSONNEL FILE (ACTIVE) , page 56, item 33. b) Destroy in office remaining records concerning individuals hired after 2 years. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates after 2 years.	Confidentiality: G.S. § 115D-29 Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)
9.	AVAILABLE INSTRUCTORS FILE Records concerning available instructors. File includes names and professional experience of instructors.	Destroy in office when instructor has been inactive for 3 years.	

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10. 	<p>BENEFITS FILE</p> <p>Records concerning life, health, accident, and disability insurance plans as well as seniority and merit systems or records concerning systems in which employees may select fringe benefits including supplemental retirement plans like deferred compensation, the Federal Savings Bonds program, or services available through the State Employees Credit Union. File includes applications, enrollment forms, fee schedules, reference copies of policies and informational literature, records related to COBRA (Consolidated Omnibus Budget Reconciliation Act), and other related records.</p>	<p>a) Destroy in office claims forms after 2 years.*</p> <p>b) Destroy in office remaining records 1 year after plan is terminated.</p>	<p>Confidentiality: G.S. § 115D-29</p> <p>Retention: 29 CFR 1627.3(b)(2)</p>
11.	<p>CIVIL RIGHTS FILE</p> <p>Records concerning college compliance with federal and state affirmative action and equal opportunity programs like the Age Discrimination in Employment Act (ADEA), Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), and Title VII of the 1964 Civil Rights Act. File includes regulations, recruitment plans, outlines, timetables, goals, objectives, correspondence, reports, and other related records. File also includes reports required by the Equal Employment Opportunity (EEO) Commission as well as facility accessibility records.</p> <p>See also CIVIL RIGHTS CASES FILE, page 50, item 12.</p>	<p>a) Destroy in office reports, analyses, and statistical data after 5 years.</p> <p>b) Destroy in office affirmative action plans 5 years from date superseded.</p>	<p>Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4</p> <p>Retention: 29 CFR 1602.50</p>

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12. 	<p>CIVIL RIGHTS CASES FILE</p> <p>Records concerning employee discrimination complaints and requests for reasonable accommodation. File includes reports, position statements, and other related records.</p> <p>See also CIVIL RIGHTS FILE, page 49, item 11.</p>	<p>Destroy in office 2 years after final disposition of the charge or the action.*</p> <p><i>Retention 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>Confidentiality: G.S. § 115D-29</p> <p>Retention: 29 CFR 1602.14 29 CFR 1602.49</p>
13.	<p>CLASSIFICATIONS AND SALARIES FILE</p> <p>Records concerning position classifications and salary ranges. File includes approved position classifications, list of salary ranges, salary increments, positions studies, and other related records.</p>	<p>Destroy in office when superseded or obsolete.</p>	
14.	<p>CONFLICT OF INTEREST FILE</p> <p>Records concerning possible conflicts of interest or conflicts of commitment between college employees or board members and outside agencies. File includes disclosure statements, forms, correspondence, and other related records.</p>	<p>a) If no conflict, destroy in office after 3 years.</p> <p>b) If potential or actual conflict, destroy in office 6 years after resolution of conflict or 1 year after term of service ends, whichever occurs later.</p>	
15.	<p>DISABILITY SALARY CONTINUATION CLAIMS FILE</p> <p>Records concerning salary continuation benefits for disabled employees. File includes forms and other related records.</p>	<p>a) Transfer original forms to Teacher and State Employees' Retirement System when received from employee.</p> <p>b) Destroy in office remaining records after 1 year.</p>	

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16. 	DISCIPLINARY FILE Records concerning disciplinary actions against college employees. File includes documentation of termination, appeals, correspondence, and other related records.	a) Transfer records as applicable to PERSONNEL FILE (ACTIVE) , page 56, item 33. b) Destroy in office all remaining records 2 years after resolution of all actions.	Confidentiality: G.S. § 115D-29 Retention: 29 CFR 1602.31
17. 	EDUCATIONAL LEAVE AND REIMBURSEMENT FILE Records concerning educational leave and/or tuition reimbursement. See also FAMILY MEDICAL LEAVE ACT (FMLA) FILE , page 52, item 22; LEAVE FILE , page 53, item 26; and MILITARY LEAVE FILE , page 55, item 31.	a) Transfer records documenting required education to PERSONNEL FILE (ACTIVE) , page 56, item 33. b) Destroy in office records concerning denied requests 6 months after denial.* c) Destroy in office remaining records after 3 years.*	Confidentiality: G.S. § 115D-29
18. 	ELIGIBILITY RECORDS FILE Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms, forms filed with the U.S. Department of Labor, E-Verify forms, and Selective Service forms.	a) I-9 forms have a mandatory retention throughout the duration of an individual's employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later. b) Destroy in office E-Verify forms and Selective Service forms 1 year after employee separation. c) Destroy in office remaining records after 5 years.	Confidentiality: G.S. § 115D-29 Retention: 8 USC 1324a(b)(3)
19. 	EMPLOYEE ASSISTANCE PROGRAM (EAP) FILE Records concerning the Employee Assistance Program (EAP) and related assistance and counseling opportunities. File includes requests for information, referrals, correspondence, forms, releases, and other related records.	Destroy in office after 3 years.	Confidentiality: G.S. § 115D-29

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	EMPLOYEE SUGGESTION AND SURVEYS FILE Suggestions made or surveys completed by college employees. File includes correspondence, summary reports, conclusions, and other related records.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	
21.	EMPLOYMENT TESTS AND ANSWER SHEETS FILE Records concerning employment-related tests, including tests required of job applicants. File includes applicant's answer sheets, test scores, and other related records.	a) Transfer records as applicable to PERSONNEL FILE (ACTIVE) , page 56, item 33. b) Destroy in office remaining records concerning individuals hired after 2 years. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.*	Confidentiality: G.S. § 115D-29 Retention: 29 CFR 1627.3(b)(1)
22.	 FAMILY MEDICAL LEAVE ACT (FMLA) FILE Records concerning leave taken under the Family Medical Leave Act (FMLA). File includes premium payments, employee notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA, and other related records. See also EDUCATIONAL LEAVE AND REIMBURSEMENT FILE , page 51, item 17; LEAVE FILE , page 53, item 26; and MILITARY LEAVE FILE , page 55, item 31.	Destroy in office 3 years after leave ends.*	Authority: 29 CFR 825.110 Confidentiality: G.S. § 115D-29 Retention: 29 CFR 825.500
23.	 GARNISHMENTS FILE Records concerning garnishments of employees' wages.	Destroy in office after 3 years.*	Confidentiality: G.S. § 115D-29

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24. 	<p>GRIEVANCES FILE</p> <p>Records concerning employee grievances. File includes initial complaint by employee, correspondence, investigations, actions, and other related records.</p> <p>See also DISCIPLINARY FILE, page 51, item 16 and PERSONNEL FILE (ACTIVE), page 56, item 33.</p>	Destroy in office 2 years after resolution.*	Confidentiality: G.S. § 115D-29
25. 	<p>INTERNSHIP PROGRAM FILE</p> <p>Records concerning student internship programs within the college. File includes applications, approvals, internship agreements, credits earned, eligibility criteria, and other related records.</p>	<p>a) Transfer records as applicable to CURRENT STUDENT RECORDS FILE, page 27, item 10.</p> <p>b) Destroy in office remaining records after 3 years.</p>	Confidentiality: 20 USC § 1232g
26. 	<p>LEAVE FILE</p> <p>Records concerning employee leave. File includes requests for and approval of sick, vacation, overtime, buy-back, shared, etc. File also includes monthly leave reports and semiannual leave recapitulations.</p> <p>See also EDUCATIONAL LEAVE AND REIMBURSEMENT FILE, page 51, item 17; FAMILY MEDICAL LEAVE ACT (FMLA) FILE, page 52, item 22; and MILITARY LEAVE FILE, page 55, item 31.</p>	<p>a) Destroy in office records concerning approved leave requests 3 years after employee returns from leave or separates from employment.*</p> <p>b) Destroy in office records concerning denied leave requests after 6 months.</p> <p>c) Destroy in office remaining records when reference value ends. College Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 115D-29

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27. 	<p>LICENSING AND CERTIFICATION FILE Records concerning the licensing or certification of college personnel. File includes applications, test scores, and other related records.</p> <p>See also EMPLOYMENT TESTS AND ANSWER SHEETS FILE, page 52, item 21.</p>	<p>a) Transfer employee-specific records to PERSONNEL FILE (ACTIVE), page 56, item 33 when employee receives license or certification if licensing or certification is required.</p> <p>b) Destroy certificates in office 5 years after date of separation.</p> <p>c) Destroy in office remaining records after 2 years.</p>	<p>Confidentiality: G.S. § 115D-29</p> <p>Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)</p>
28. 	<p>LONGEVITY FILE Records concerning employee eligibility for longevity pay.</p>	<p>Destroy in office after 3 years.*</p>	<p>Confidentiality: G.S. § 115D-29</p>
29. 	<p>MEDICAL RECORDS FILE Records concerning asbestos, toxic substances, and blood-borne pathogen exposure; medical examinations required by state or federal law; and records of injury or illness.</p>	<p>a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*</p> <p>b) Destroy in office records pertaining to first-aid job-related illness and injury after 5 years.</p> <p>c) Provide medical records to employees who have worked for less than 1 year at time of separation.</p> <p>d) Destroy in office remaining records 30 years after employee terminates service.</p> <p><i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a worker's compensation claim, follow disposition for WORKERS' COMPENSATION LITIGATION AND CLAIMS FILE, page 60, item 50.</i></p>	<p>Authority: 29 CFR 1910.1020(e)</p> <p>Confidentiality: 29 CFR 1630.14(c)(1) 29 CFR 1910.1020(d)</p> <p>Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1910.1020(d)</p>

8. Personnel

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.



† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction "destroy when reference value ends." Please use the space provided.

8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<p>MERIT FILE</p> <p>Records concerning the evaluation of employees being considered for a merit increase. File includes evaluation guidelines, rating scales, and other related records.</p>	Destroy in office after 3 years.*	
31.	 <p>MILITARY LEAVE FILE</p> <p>Records concerning military leave as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA).</p>	Destroy in office 3 years after leave ends or employee separates from college.*	<p>Authority: 5 CFR 1208</p> <p>Confidentiality: G.S. § 115D-29</p>
32.	<p>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) FILE</p> <p>Records concerning OSHA policies and programs or records concerning workplace injury or illness. File includes extent and outcomes, summary totals for calendar year, OSHA forms, and other related records. File also includes ergonomic assessments for employees.</p>	Destroy in office after 5 years.	<p>Retention: 29 CFR 1904.33 29 CFR 1904.44</p>

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33. 	<p>PERSONNEL FILE (ACTIVE)</p> <p>Official personnel files of each temporary or permanent college employee. File includes applications, correspondence, resumes, vitae, promotions, demotions, transfers, personnel action forms, salary, termination of employment, social security number verifications, driver’s licenses, and other related records.</p> <p>See also MEDICAL RECORDS FILE, page 54, item 29.</p>	Transfer to PERSONNEL FILE (INACTIVE) , page 56, item 34 after separation or termination of service.	Confidentiality: G.S. § 115D-29
34. 	<p>PERSONNEL FILE (INACTIVE)</p> <p>Official personnel files of each inactive college employee. File includes applications, correspondence, resumes, vitae, promotions, demotions, transfers, personnel action forms, salary, termination of employment, social security number verifications, driver’s licenses, and other related records.</p> <p>Note: Contact the State Records Center of the State Archives of North Carolina for transfer and retrieval information.</p>	<p>a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that agency; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification; date and general description of the reasons for each promotion; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision setting forth the specific acts or omissions that are the basis of the dismissal.</p> <p>b) Destroy in office information necessary to verify benefits 30 years after date of separation.</p> <p>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	Confidentiality: G.S. § 115D-29

8. Personnel

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35. 	PERSONNEL FILE (ONE TIME PAYMENTS) Official personnel files for employees hired to fulfill, short-term duties. This includes honoraria for visiting lecturers and consultants as well as college staff and students who undertake duties outside and not in conflict with their regular work. File includes personnel action forms, correspondence, and other related records.	Destroy in office 1 year after payment day.	Confidentiality: G.S. § 115D-29
36.	POSITION DESCRIPTIONS FILE Records concerning descriptions for all college positions. File includes job title, grade, duties, and responsibilities.	Destroy in office 1 year after superseded or obsolete.	Retention: 29 CFR 1620.32
37.	POSITION HISTORIES FILE Historical data concerning each college position.	Retain in office permanently.	
38.	RECRUITMENT FILE Records concerning recruitment of personnel. File includes authorizations to fill a vacant position, position listings and advertisements, notices of overtime or promotion, and other related records.	Destroy in office after 1 year.	Retention: 29 CFR 1627.3(b)(1)

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39. 	<p>RETIREMENT FILE</p> <p>Records concerning retirement beneficiaries for death benefits or personal data of employees who plan to retire or have retired. File includes correspondence, completed retirement forms, and other related records.</p> <p>See also BENEFITS FILE, page 49, item 10.</p>	<p>a) Transfer original records concerning beneficiaries to the Department of the State Treasurer, Retirement Systems Division.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 115D-29
40. 	<p>SECONDARY EMPLOYMENT FILE</p> <p>Records concerning employee requests to engage in additional outside employment.</p>	<p>a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.</p> <p>b) Destroy in office denied requests and related records after 6 months.</p> <p>c) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	Confidentiality: G.S. § 115D-29
41.	<p>SERVICE AWARDS FILE</p> <p>Records concerning employees eligible for and receiving service awards.</p>	Destroy in office 5 years after date of award.	
42.	<p>STATEMENT OF BACK PAY FILE</p> <p>Records concerning the gross pay an employee would have earned during a specified period for back pay in a grievance decision or settlement agreement. File includes completed back pay calculation forms, correspondence, and other related records.</p>	Destroy in office after 3 years.*	

8. Personnel

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† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43.	UNEMPLOYMENT COMPENSATION CLAIMS FILE Records concerning unemployment compensation cases. File includes claim forms and other related records.	Destroy in office after 3 years.*	
44.	UNEMPLOYMENT INSURANCE FILE Division of Employment Security forms used to report wages of terminated employees for the purpose of unemployment insurance benefits.	a) Transfer original records to the N.C. Department of Commerce, Division of Employment Security. b) Destroy in office remaining records after 2 years.	
45.	VACANCY FILE Listings of vacant positions within a college.	Destroy in office when superseded or obsolete.	
46.	VERIFICATION OF EMPLOYMENT FILE Records concerning verification of an employee's prior or current employment. File includes inquiries and responses.	Destroy in office after 1 year.	
47. 	WORK PLAN FILE Work plans concerning employees' goals and primary tasks. Information is used to evaluate each employee's work performance.	Destroy in office after 3 years.*	Confidentiality: G.S. § 115D-29 (<i>Note: Only performance evaluations are confidential.</i>) Retention: 25 NCAC 010. 0113(d)

8. Personnel

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8. PERSONNEL RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
48. 	WORK SCHEDULES AND ASSIGNMENTS FILE Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	a) Transfer as applicable to TIME SHEETS, CARDS, AND ATTENDANCE FILE , page 20, item 37. b) Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 115D-29
49.	WORKERS' COMPENSATION PROGRAM ADMINISTRATION FILE Records concerning administration of workers' compensation program. File includes program policies, guidelines, and other related records.	a) Retain in office policies permanently. b) Destroy in office all other records when superseded or obsolete.	
50. 	WORKERS' COMPENSATION LITIGATION AND CLAIMS FILE Records concerning workers' compensation claims in response to accidental injuries or illness suffered on the job. File includes Notice of Accident to Employer and Claim of Employee (Form 18), Employer's Report of Employee's Injury (Form 19), accident investigation reports, progress reports, medical reports, return to work instructions, photographs, correspondence, findings, recommendations, and other related records. File also includes reference copies of medical invoices, legal opinions and briefs, court documents, transcripts and affidavits. <i>Note: All official copies of claims records should be transferred to the North Carolina Industrial Commission in compliance with G.S. § 97-92(a).</i>	a) Submit all official copies of claims records to the NCIC. b) Destroy in office college's working file for workers' compensation claims by its employees 5 years after employee returns to work or separates from the college.	Confidentiality: G.S. § 8-53 G.S. § 97-92(b)

8. Personnel

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PUBLIC RELATIONS RECORDS
Official records and materials created and accumulated by internal public relations programs operated by the community college.

9. PUBLIC RELATIONS RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<p>AUDIO AND VIDEO RECORDINGS FILE Recordings of special events, interviews, and other related activities produced by the college.</p> <p>See also ACTIVITIES AND EVENTS FILE, page 1, item 2; OFFICE SECURITY FILE, page 6, item 19; and SPEECHES FILE, page 63, item 10.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
2.	<p>BIOGRAPHICAL DATA FILE Records concerning college officials. File includes biographical sketches, news releases, news clippings, photographs, and other related records.</p>	<p>Destroy in office when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	
3.	<p>COLLEGE PUBLICATIONS FILE Records concerning publications created by the college. File includes catalogs, annual reports, Career Focus, and other significant publications.</p>	<p>a) Transfer 10 or more print copies (as required) of each publication to the State Government Publications Clearinghouse, State Library of North Carolina.</p> <p>b) Transfer 1 copy of electronic publications to the State Government Publications Clearinghouse, State Library of North Carolina.</p> <p>c) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	<p>Authority: G.S. § 125-11.8(b)</p>

9. Public Relations

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.

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9. PUBLIC RELATIONS RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	MAILING LISTS FILE Mailing lists for the distribution of publications and newsletters.	Destroy in office when superseded or obsolete.	
5.	NEWS CLIPPINGS AND SCRAPBOOKS FILE Newspaper clippings and scrapbooks concerning the college and related events.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	
6.	NEWS RELEASES FILE Records concerning the promotion of the college or related events.	Retain in office permanently.	
7.	PHOTOGRAPHS AND SLIDES FILE Images of the college and related people, places, and events.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† College Policy: Destroy in office after _____	
8.	PUBLICITY FILE Records concerning the overall public relations of the college. File includes advertisements, announcements, correspondence, and other related records.	Destroy in office when reference value ends.† College Policy: Destroy in office after _____	
9.	SOCIAL MEDIA FILE	See ELECTRONIC RECORDS (page 65) for guidance handling social media.	

9. Public Relations

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9. PUBLIC RELATIONS RECORDS			
ITEM #	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<p>SPEECHES FILE</p> <p>Speeches made by college administrators. File includes transcripts, audio or video recordings, and other related records.</p>	<p>a) Retain in office records with historical value permanently.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>College Policy: Destroy in office after _____</p>	

9. Public Relations

* Records may not be destroyed if audits or litigation are pending or reasonably anticipated. See **AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION**, page ix.

† See signature page. The college hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

DESTRUCTION OF PUBLIC RECORDS

Q. When can I destroy records?

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long the series must be kept in your office. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your office forever.
-

Q. How do I destroy records?

- A.** After your college has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- 1) burned, unless prohibited by local ordinance;
 - 2) shredded, or torn so as to destroy the record content of the documents or material concerned;
 - 3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
 - 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.

The provision that electronic records are to be destroyed means that the data, metadata, and physical media are to be overwritten, deleted, and unlinked so that the data and metadata may not be practicably reconstructed.

The data, metadata, and physical media containing confidential records of any format are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

— N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Q. How can I destroy records if they are not listed on this schedule?

- A.** Contact a Records Management Analyst. The analyst will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, they will discuss the possibility of transferring the records to the State Archives of North Carolina to be preserved permanently.

If the records do not have historical value, you may be asked to complete a Request for Disposal of Unscheduled Records form, which the analyst can provide, if the records are no longer being created. If the records are an active records series, the analyst will help you develop an amendment to this schedule so that moving forward you can destroy the records appropriately.

Q. Am I required to tell anyone about the destruction?

- A.** We recommend that you report your records retention activities to your governing board on an annual basis. This report does not need to be detailed, but it is important that significant destructions be entered into the minutes of the Board.

ELECTRONIC RECORDS: E-MAIL, BORN-DIGITAL RECORDS, AND DIGITAL IMAGING

Q. When can I delete my e-mail?

A. E-mail is a public record as defined by G.S. § 121-5 and G.S. § 132. Electronic mail is as much a record as any paper record and must be treated in the same manner. **It is the content of each message that is important.** If a particular message would have been filed as a paper memo, it should still be filed (either in your e-mail program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. **It is inappropriate to destroy e-mail simply because storage limits have been reached.** Some examples of e-mail messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts of reports and recommendations;
- Correspondence and memoranda related to official business;
- Work schedules and assignments;
- Meeting agendas or minutes
- Any document or message that initiates, facilitates, authorizes, or completes a business transaction; and
- Messages that create a precedent, such as issuing instructions and advice.

*From the Department of Natural and Cultural Resources E-Mail Policy (Revised July 2009),
available at the State Archives of North Carolina website*

Other publications available online ([https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-communications-\(e-mail,-text-messaging,-etc.\)](https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-communications-(e-mail,-text-messaging,-etc.))) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

Q. May I print my e-mail to file it?

A. We do not recommend printing e-mail for preservation purposes. Important metadata are lost when e-mail is printed.

Q. I use my personal e-mail account for work. No one can see my personal e-mail, right?

A. The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. § 132-1 states that records “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” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

Q. We have an imaging system. Are we required to keep the paper?

A. You may scan any record, but you will need to ensure that the appropriate documentation is in place in order to destroy paper originals that have been digitized. First, your college must develop an electronic records policy. You can find a template for such a policy in the Digital Imaging section of the State Archives of North Carolina website (<https://archives.ncdcr.gov/documents/higher-ed-rm>). Your college will then need to complete an Authorization to Destroy Paper Records form on page 69. Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy and to obtain an authorization to destroy paper records.

Permanent records must have a security preservation copy as defined by State Archives of North Carolina’s **Human-Readable Preservation Duplicate Policy** (G.S. § 132-8.2):

Preservation duplicates shall be durable, accurate, complete and clear, and such duplicates made by a photographic, photo static, microfilm, micro card, miniature photographic, or other process which accurately reproduces and forms a durable medium for so reproducing the original shall have the same force and effect for all purposes as the original record whether the original record is in existence or not. ... Such preservation duplicates shall be preserved in the place and manner of safekeeping prescribed by the Department of Natural and Cultural Resources.

The preservation duplicate of permanent records must be either on paper or microfilm.

Non-permanent records may be retained in any format; however, you will need to take precautions with electronic records that must be retained for more than about 5 years due to the rate at which technology changes. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and continued access.

Q. Computer storage is cheap. Can I just keep my computer records permanently?

- A.** The best practice is to destroy all records that have met their retention requirements, regardless of format.

Q. What are the guidelines regarding the creation and handling of electronic public records?

- A.** There are numerous documents available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>). Topics covered include shared storage, cloud computing, eDiscovery, trustworthy digital public records, digital signatures, e-mail, social media, text messages, websites, digital imaging, metadata, file formats, database indexing, and security backups.

Note that for e-mail, voicemail, text messages, and social media, they should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, voicemail, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 3 years (see **LEAVE FILE**, page 53, Item 26).

DISASTER ASSISTANCE

Q. What should I do in case of fire or flood?

- A.** Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 814-6903 for the Head of the Government Records Section or (919) 814-6876 for the State Archivist. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

Damaged records are extremely fragile and require careful handling. Our staff are trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle larger disasters.

Q. What help do you give in case of an emergency?

- A.** We will do everything we can to visit you at the earliest opportunity in order to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.
-

Q. What can I do to prepare for an emergency?

- A.** We provide training on disaster preparation that includes a discussion of the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, call a Records Management Analyst.
-

Q. What are essential records?

- A.** Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:
- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records
 - **Legal and financial rights records** – these protect the legal and financial rights of the college and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as “rights-and-interests” records.

Essential records should be stored in safe, secure locations as well as duplicated and stored off-site, if possible.

STAFF TRAINING

Q. What types of workshops or training do you offer?

A. We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your college. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:

- Managing public records in North Carolina
- Confidentiality
- Organizing paper and digital files
- E-mail
- Managing Electronic Records

Q. Will you design a workshop especially for our office?

A. Yes, we will. Let a Records Management Analyst know what type of training you need.

Q. Are workshops only offered in Raleigh?

A. No, we will come to your office to present the workshop(s) you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.

Q. Is there a fee for workshops?

A. Not at this time.

Q. Are the workshops available in an online format?

A. Not at this time. However, there are several online tutorials available on the State Archives of North Carolina website, including managing public records, e-mail, electronic records, and scanning.



Authorization to Destroy Paper Records

Before a college/university office may destroy any paper record that has not met its required retention period and keep only a digital surrogate of that record, **all** the following conditions must be met:

- The office agrees to abide by all guidelines and best practices as published by the Department of Natural and Cultural Resources, including [File Format Guidelines](#) and [Best Practices for File-Naming](#).
- An electronic records policy has been approved by the office and authorized by the Department of Natural and Cultural Resources.
- All records series that will be scanned and their paper records destroyed after quality audits are listed in the table below:

Records Series Title	Inclusive Dates (e.g., 1987-1989; 2005-present ¹)	Required Retention Period

- Quality control audits have been performed on the electronic records.
- The digital surrogates will be retained for the entirety of the required retention period.

Requested by:

Signature Title Date

Approved by:

Signature Department/Office Head Date

Concurred by:

Signature College/University Records Officer Date

¹ If an office uses an open-ended date on this authorization from, the destruction of records must be listed on a destructions log with the precise dates of the records destroyed at a given time.

DIVISION OF ARCHIVES AND RECORDS — GOVERNMENT RECORDS SECTION

MAILING ADDRESS:
4615 Mail Service Center
Raleigh, N.C. 27699-4615

http://archives.ncdcr.gov
Telephone (919) 814-6900
Facsimile (919) 715-3627
State Courier 51-81-20

LOCATION:
215 N. Blount Street
Raleigh, N.C. 27601-2823

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