

RECORDS RETENTION AND DISPOSITION SCHEDULE



INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

Issued By:



North Carolina Department of Natural and Cultural Resources

Division of Archives and Records

Government Records Section

January 2018

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University General Records Retention and Disposition Schedule

The retention and disposition 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

INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

do not and will not have further use or value for official business, research, or reference purposes after the respective retention periods specified herein and are authorized to be destroyed or otherwise disposed of by the office or official having custody of them without further reference to or approval of either party to this agreement. The University agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. 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. **Public records, including electronic records, not listed in this schedule are not authorized to be destroyed.**

The UNC 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 that allow these records to be destroyed when "reference value ends." The University 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." If a University does not establish internal policies and retention periods, the University is not complying with the provisions of this retention schedule and is not authorized by the Department of Natural and Cultural Resources to destroy the records with the disposition instruction "destroy when reference value ends."

The UNC 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 agency. The University agrees 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.

It is further agreed that these records may not be destroyed prior to the time periods stated; however, for sufficient reason they may be retained for longer periods. This schedule is to remain in effect from the date of approval until it is reviewed and updated.

APPROVAL RECOMMENDED



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



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

ACKNOWLEDGED

University Records Officer/Archivist

INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

University General Records Retention and Disposition Schedule

Amend the following items on the records retention and disposition schedule approved January 2018, as shown on the included schedule. All other items on this schedule remain in effect as originally approved.

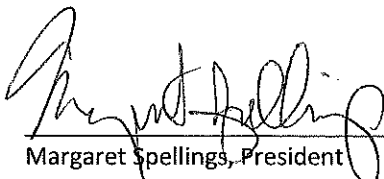
- Consulting Records (Standard 1, new Item 13)
- Governing and Advisory Board Records (Standard 1, Item 21)
- Animal Care Records (Standard 6, Items 1 and 2)
- System Access Records (Standard 7, Item 14)
- Copyright, Patent, and Trademark Records (Standard 8, Item 2)
- Insurance Records (Standard 8, Item 4)
- Apprentice, Intern, and Volunteer Records (Standard 10, Item 5)
- Hiring Packages (deleted from Standard 10)
- Search Committee Records (Standard 10, Item 42)
- Alarm Monitoring Reports (Standard 11, Item 2)
- Case Records (Standard 11, Item 6)
- Confiscated Property Records (Standard 11, Item 8)
- Incident Reports (Standard 11, Item 12)
- Disciplinary Records (Academic) (Standard 12, Item 13)
- Disciplinary Records (Non-Academic) (Standard 17, Item 2)

APPROVAL RECOMMENDED

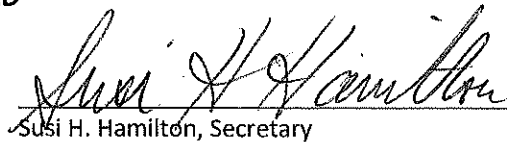


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Margaret Spellings, President
University of North Carolina System



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

ACKNOWLEDGED

University Records Officer/Archivist

INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

University General Records Retention and Disposition Schedule

Amend the following items on the records retention and disposition schedule approved January 2018, as shown on the included schedule. All other items on this schedule remain in effect as previously approved.

- Annual Giving Fund Records (Standard 3, Item 3)
- Tax Forms (Standard 5, Item 20)
- Travel Reimbursements (Standard 5, Item 23)
- Research Data Sets (Standard 6, Item 8)
- Payroll (Standard 10, Item 33)
- Shift Premium Pay (Standard 10, Item 43)
- Time Sheets (Standard 10, Item 46)
- Workers' Compensation Program Administration (Standard 10, Item 50)
- Pre-College Program Records (Standard 13, Item 4)
- Student Counseling Records (Standard 16, Item 7)
- Student Immunization Records (Standard 16, Item 8)
- Student Mental Health Records (deleted from Standard 16)
- Student Counseling Records (deleted from Standard 17)
- Medical Center and School of Medicine Records (new Standard 18)

APPROVAL RECOMMENDED



Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



William L. Roper, Interim President
University of North Carolina System



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

ACKNOWLEDGED

University Records Officer/Archivist

University

Executive Summary

This document, known as the University General Schedule, is a tool for the staff and faculty of the institutions in the University of North Carolina (UNC) System to use when managing the records in their offices. This schedule serves as the inventory and schedule that the Department of Natural and Cultural Resources (DNCR) is directed to provide by G.S. § 121-5(c) and G.S. § 132-8. It lists records commonly found in University offices and gives an assessment of their value by indicating when (and if) those records should be destroyed. The University Archivist is authorized to retain any record deemed to have historical value.

This schedule is an agreement between the UNC System and the Department of Natural and Cultural Resources. It supersedes all previous editions, including the University General Schedule issued in 2007. Your University may also have specific schedules for your campus; this University General Schedule does not supersede those schedules without specific authorization by your Chancellor, University Counsel, University Archivist, or University Records Officer.

According to G.S. § 121-5 and G.S. § 132-3, you may only destroy public records with the consent of the Department of Natural and Cultural Resources. This schedule (along with any campus-specific schedules) is the primary way DNCR provides its consent. Records, regardless of medium, not listed on this schedule or a campus-specific schedule may not be destroyed without the consent of DNCR and your University Records Officer or Archivist.

If you have records in your office that are not on this University General Schedule or on a campus-specific schedule, please contact your University Records Officer or Archivist. If in concert you determine the records have historical value, they should be transferred to the University Archives. If these are records still actively being created and received, please complete the form found in the appendix to this schedule, Request for Change in University Records Schedule, and submit it to the records analyst in the Government Records Section assigned to the UNC system. In these are inactive records, please complete the form found in the appendix to this schedule, Request for Disposal of Unscheduled Records, and submit it to the records analyst in the Government Records Section assigned to the UNC system.

Public Records and Requests

According to G.S. § 132-1(a):

"Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions.

G.S. § 132-1(b) goes on to specify:

The public records and public information compiled by the agencies of North Carolina government or its subdivisions are the property of the people. Therefore, it is the policy of this State that the people may obtain copies of their public records and public information free or at minimal cost unless otherwise specifically provided by law.

And G.S. § 132-6(a) further elaborates on the openness of public records:

Every custodian of public records shall permit any record in the custodian's custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. As used herein, "custodian" does not mean an agency that holds the public records of other agencies solely for purposes of storage or safekeeping or solely to provide data processing.


The implication of this last sentence is that if a university contracts with any outside vendor for file storage, it is still the responsibility of the records-creating agency to be able to produce required documents necessary to answer a public records request (or an audit or discovery for litigation). For this reason, be sure that all electronic records contracts include language that addresses the procedures for exporting records should a contractor go out of business or should the agency decide to transfer the contract to another vendor.

Similarly, if a university contracts with outside providers for any services, those providers must be made aware of their legal obligations for maintaining public records in accordance with this University General Schedule. In addition, any confidentiality requirements established for particular records apply to contractors and providers in the same manner they apply to universities themselves.

Confidentiality

As indicated above, North Carolina has a fairly broad definition of public records. However, not all of these public records are open to public inspection. G.S. § 132-1.1 through G.S. § 132-1.23 list numerous records that are exempt from disclosure, and there are additional places in the General Statutes of North Carolina as well as in the federal code that confer confidentiality on records. Be aware, according to G.S. § 132-6(c):

No request to inspect, examine, or obtain copies of public records shall be denied on the grounds that confidential information is commingled with the requested nonconfidential information. If it is necessary to separate confidential from nonconfidential information in order to permit the inspection, examination, or copying of the public records, the public agency shall bear the cost of such separation. . . .

Any records that are considered confidential are identified with a  in the Series column and a specific citation in the rightmost column. No claim of confidentiality can be made without specific regard to a state or federal authority. However, be aware that the presence of such a citation does not necessarily indicate that all records within that series are entirely confidential. If there are questions, verify with university legal counsel or public information officer.

Audits, Litigation, and Other Official Actions

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 agency requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the university 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 AUDIT RECORDS, page 2, item 1.5.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the University 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."¹ North Carolina has a broad definition of public records. However, the Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called "transitory records." They may be disposed of according to the guidance below. However, all public employees should be familiar with the University General Schedule and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. When in doubt about whether a record is transitory or whether it has special

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

significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

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

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

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

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

Schedule Format

This University General Schedule applies to records in all media, unless otherwise specified. If your office has records that are designated to transfer to the University Archives, please contact the University Archivist to discuss the format in which these records will transfer.



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

Record Series – groupings of records that are “created, received, or used in the same activity.”²

² Ibid.

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

Disposition Instructions – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records.

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

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

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

STANDARD 1: ADMINISTRATIVE RECORDS
 Administrative records document the day-to-day operations of the University.

Series #	Records Series Title and Description	Disposition Instructions	Citation
1.1	<p>ACCREDITATION RECORDS Records documenting the accreditation process for the University and/or its programs, departments, schools, and colleges by the Southern Association of Colleges and Schools (SACS) or other accreditation bodies. Includes reports, questionnaires, guides, correspondence, and other related records.</p> <p><i>See also: Self-Study Records (page 12, item 1.37)</i></p>	<p>a) Transfer 1 copy of final report to University Archives for appraisal and final disposition. b) Destroy in office remaining records when reference value ends. ± University Policy: Destroy after _____</p>	

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* No destruction of records may take place if audits or litigation are pending or reasonably anticipated. See AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS, page vi.
 ± See signature page. The University hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that the Department of Natural and Cultural Resources has scheduled with the disposition instruction “destroy when reference value ends.” Please use the space provided.

2018 UNC General Records Retention and Disposition Schedule (amended 2019)

This schedule applies to all records regardless of format (unless otherwise specified).



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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.2	<p>ACTIVITIES AND EVENTS RECORDS Records documenting activities and events initiated or sponsored by the University, such as excursions and celebratory events for the University community. Includes planning materials, reports, promotional and publicity materials, schedules, bulletins, memoranda, circulars, invitations, announcements, press releases, media coverage, presentation materials, registration and attendance lists, evaluations, photographs, video and audio recordings, correspondence, and other related records.</p> <p><i>See also: Event and Promotional Recordings (page 80, item 14.6), Sports Information (page 81, item 14.10)</i></p>	<p>a) Transfer planning materials, reports, promotional and publicity materials, press releases, photographs, audio and video recordings, and agendas/schedules to the custody of University Archives after 5 years for appraisal and final disposition.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
1.3	<p>ADMINISTRATIVE RECORDS Records facilitating operations at the University. Includes internal bulletins and memoranda, logistics materials, and other related records.</p>	Destroy in office when superseded or obsolete.	
1.4	<p>ADMINISTRATORS RECORDS Records produced by Chancellors, Vice Chancellors, Deans, and Department Chairs concerning University authority, operating philosophy, purpose, methods, and any other function. Includes reports, memoranda, directives, correspondence, and other related records.</p>	Transfer to University Archives when reference value ends for appraisal and final disposition.	


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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.5 	AUDIT RECORDS Records documenting internal and external audits of the University. Includes reports, working papers, corrective measures, correspondence, and other related records.	a) Destroy in office final reports after 10 years. b) Destroy in office documentation of corrective measures after 2 years. c) Destroy in office working papers and other remaining records when superseded or obsolete.	Confidentiality/ Retention: G.S. § 143-748
1.6	AWARDS AND HONORS RECORDS Records documenting faculty, staff, student, and alumni awards. Includes applications, nominations, criteria, press releases, correspondence, and other related records. <i>See also: Scholarships and Awards (page 20, item 3.12)</i>	a) Transfer notification of award to appropriate personnel or student file upon receipt. b) Transfer eligibility and selection criteria, list of award recipients, biographies of winners, and press releases to University Archives after 5 years for appraisal and final disposition. c) Destroy in office remaining records after 1 year.	
1.7	CALENDARS Records documenting schedules for University activities and events as well as faculty and staff. Includes print and online publications of calendars, itineraries, and individual calendars.	a) Transfer calendars of University activities and events to University Archives when published. b) Transfer calendars of chancellor to University Archives at end of term for appraisal and final disposition. c) Destroy in office remaining records after 1 year.	
1.8	CAMPUS ACCESS RECORDS Records concerning the security of University offices, facilities, vehicles, equipment, and personnel. Includes visitors' register and logs tracking access to facilities or resources. <i>See also: Vehicle Usage Permit (page 14, item 1.49)</i>	Destroy in office after 30 days.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.9	<p>COMMITTEE, COUNCIL, AND TASK FORCE RECORDS Records documenting the deliberations and actions of appointed, elected, or ad hoc groups charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, or reviewing petitions, appeals, and deviations from policy. Includes minutes, notifications of meetings, agendas, reports, briefing materials, working papers, photographs, correspondence, and other related records.</p>	<p>a) Transfer minutes, agendas, reports, and photographs to University Archives at end of academic year or at expiration of group’s charge for appraisal and final disposition. b) Destroy in office remaining records after 5 years.*</p>	
1.10	<p>COMPLAINTS Records documenting complaints filed by the University community involving allegations of discriminatory practices or behavioral misconduct within the University. Includes complaint documentation, reports, investigations, appeals, correspondence, and other related records.</p>	<p>Destroy in office 3 years after resolution.*</p>	
1.11	<p>CONFERENCES, TRAINING PROGRAMS, LECTURES, AND WORKSHOPS Records documenting conferences, informative sessions, short courses, workshops, training programs, lecture series, and orientation sessions conducted by representatives of the University. Includes agendas, handouts and other training materials, reports, registration materials, and correspondence. <i>See also: Training Records (page 62, item 10.48)</i></p>	<p>a) Transfer agendas, handouts and other training materials, and reports to University Archives after 5 years for appraisal and final disposition. b) Destroy in office remaining records when superseded or obsolete.</p>	

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

2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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1

Series #	Records Series Title and Description	Disposition Instructions	Citation
1.12	<p>CONSTITUENT REQUESTS Records documenting requests for service or information (RFI). Also includes duplication requests.</p> <p><i>See also: Public Records Requests (page 9, item 1.30)</i></p>	Destroy in office 1 year after fulfillment of request.	
1.13	<p>CONSULTING RECORDS Records documenting policy reviews, advice, or expertise communicated by faculty and/or staff to public officials, agencies, private citizens, etc.</p>	<p>Destroy in office when reference value ends.</p> <p>University Policy: Destroy after _____</p>	
1.14	<p>CONTACT LISTS Records documenting individuals and organizations that have requested periodic informational updates from the University.</p>	Destroy in office when superseded or obsolete.	
1.15	<p>DISASTER AND EMERGENCY MANAGEMENT PLANS Records documenting disaster and emergency response policies and procedures. Includes policies, procedures, reports, correspondence, and other related records.</p>	Destroy in office when superseded or obsolete.	
1.16	<p>DISASTER AND EMERGENCY RECOVERY RECORDS Records documenting recovery efforts after manmade or natural disasters that impact the University.</p>	<p>a) Retain in office permanently records documenting major University disaster recovery efforts and evaluating their efficacy.</p> <p>b) Destroy in office remaining records after 3 years.</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.17	EMERGENCY DRILLS AND EQUIPMENT TESTS Test records for fire suppression, defibrillator, respirator fit, and other emergency equipment. Also includes records concerning University emergency and fire drills.	Destroy in office when superseded or obsolete.	
1.18	EXHIBIT RECORDS Records documenting exhibits produced by campus units. Includes promotional materials, exhibit captions and research, correspondence, and other related records.	Transfer to University Archives when reference value ends for appraisal and final disposition.	
1.19	FACULTY GOVERNANCE RECORDS Records documenting the actions of faculty governance bodies, such as the faculty senate or council and their committees. Includes minutes, attachments, reports, faculty code, correspondence, and other related records. Also includes election records.	a) Destroy in office election records after 1 year. b) Transfer remaining records to University Archives after 5 years for appraisal and final disposition.	
1.20	FIRE, HEALTH, AND ENVIRONMENTAL SAFETY RECORDS Records documenting University safety measures. Includes reports, logs, audits, inspections, and other related records.	a) Destroy in office inspection reports after 7 years. b) Destroy in office safety audits after 3 years. c) Destroy in office remaining records when superseded or obsolete.	

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1

Series #	Records Series Title and Description	Disposition Instructions	Citation
1.21	<p>GOVERNING AND ADVISORY BOARD RECORDS Records documenting the actions and membership of governing and advisory boards to the University, including Boards of Visitors and the Board of Trustees. Includes minutes, announcements, policies, reports, correspondence, biographical information, and other related records. Also includes oaths of office, notices of appointment and resignation, conflicts of interest, and other ethics statements along with waivers from board members choosing not to receive stipend/per diem payments.</p>	<p>a) Transfer minutes, announcements, policies, and reports to the custody of University Archives after 5 years for appraisal and final disposition. b) Destroy in office recordings of meetings after approval of minutes. c) Destroy in office waivers 1 year after they are superseded or obsolete. d) Destroy in office remaining records 1 year after conclusion of service.</p>	
1.22	<p>GOVERNMENT AFFAIRS RECORDS Records produced in the course of liaising with other government officials regarding University priorities. Includes reports and other related records as well as work product from legislative liaisons.</p>	<p>Transfer to University Archives after 5 years for appraisal and final disposition.</p>	
1.23	<p>HISTORICAL MEMORABILIA Items documenting significant events or times for the University. Includes plaques, scrapbooks, press releases, clippings, newsletters, photographs, and other related records.</p>	<p>Transfer to University Archives after 5 years for appraisal and final disposition.</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

This schedule applies to all records regardless of format (unless otherwise specified).



1

Series #	Records Series Title and Description	Disposition Instructions	Citation
1.24	<p>MEDIA PRODUCTION RECORDS Records documenting media produced or purchased by University entities. Includes planning documentation, promotional materials, press kits, and other related records. Also includes program and package edit masters and pre-selected raw footage audio and visual recordings (b-roll).</p> <p><i>See also: Agreements, Contracts, and Leases (page 42, item 8.1)</i></p>	<p>a) Transfer promotional materials, press kits, and audio and visual recordings produced by the University to University Archives after 5 years for appraisal and final disposition.</p> <p>b) Destroy in office files purchased by the University according to contract requirements or instructions from the copyright owner.</p> <p>c) Destroy in office broadcast (air check) records after 31 days.</p> <p>d) Destroy in office remaining records after 5 years.</p>	
1.25	<p>POLICIES AND PROCEDURES Records documenting administrative policies and procedures of the University.</p>	Transfer to University Archives when superseded or obsolete for appraisal and final disposition.	
1.26	<p>PROFESSIONAL MEMBERSHIP RECORDS Records concerning memberships or registrations on behalf of the University or University personnel.</p>	Destroy in office when superseded or obsolete.	
1.27	<p>PROJECT DOCUMENTATION Records documenting the design, planning, development, control, or monitoring of a specific project or group of projects for the University. Includes proposals, schematics, forecasts, feasibility studies, statements of work, assessments, and other related records.</p>	<p>a) Transfer records documenting special projects that establish new programs or services for the University that become ongoing functions and priorities to University Archives after 5 years.</p> <p>b) Destroy in office remaining records after 3 years.</p>	
1.28	<p>PUBLICATIONS Publications prepared by or for the University.</p>	<p>a) Transfer 1 copy to University Archives when reference value ends.</p> <p>b) Transfer 10 or more printed copies of 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina.</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.29	<p>PUBLICITY RECORDINGS Recordings produced by and for the University documenting events, interviews, and other University-sponsored activities.</p>	Transfer to the University Archives after 5 years for appraisal and final disposition.	
1.30	<p>PUBLIC RECORDS REQUESTS Requests submitted by persons seeking access to University records and documentation of University response.</p> <p><i>See also: Constituent Requests (page 5, item 1.12)</i></p>	<p>Destroy in office after 2 years.</p> <p><i>Note: These disposition instructions apply only to the request, internal agency records related to searching for and preparing responsive records, and communication of response; the documents that are responsive to public records requests should be handled according to their respective disposition instructions (e.g., speaker sign-up sheets from a public hearing can be destroyed after 1 year; surplus property inventories can be destroyed after 3 years). However, if the agency also retains separate copies of the documents that are responsive to public records requests, they may also be destroyed 2 years after completion of the request.</i></p>	
1.31	<p>PUBLIC RELATIONS RECORDS Records documenting the promotion of the University and its activities through information materials. Includes photographs, films, videotapes, press kits, press releases, websites, social media, and other related records.</p> <p><i>See also: Event and Promotional Recordings (page 80, item 14.6), Sports Information (page 81, item 14.10)</i></p>	Transfer to University Archives after 5 years for appraisal and final disposition.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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1

Series #	Records Series Title and Description	Disposition Instructions	Citation
1.32	<p>REASONABLE ACCOMMODATIONS RECORDS Records concerning agency efforts to provide reasonable accommodation to the general public under Title II of the Americans with Disabilities Act, Title VII of the Civil Rights Act, and the 1973 Rehabilitation Act. Includes constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, resolutions, and solutions to access problems.</p>	Destroy in office 2 years after resolution.*	
1.33	<p>RECORDS MANAGEMENT MATERIALS Records documenting records management actions within the University. Includes retention and disposition schedules, destruction logs, records transmittal forms, indices, inventories, and other related records.</p>	<p>a) Retain in office permanently destruction logs and transfer forms. b) Destroy in office remaining records when superseded or obsolete.</p>	
1.34	<p>REFERENCE FILE Convenience and reference records of transitory value. Includes materials that have no regulatory authority for the recipient and are received from outside the University or from other units within the agency, subject files containing informational copies of records organized by areas of interest, and reference copies of records where another individual or agency is responsible for maintaining the record copy.</p>	<p>Destroy in office when reference value ends. ± University Policy: Destroy after _____</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.35	<p>REPORTS Records documenting formal University responses to situations or requests, including internal, external, and mandatory requests.</p>	<p>a) Transfer 1 copy of annual or biennial reports to University Archives for appraisal and final disposition. b) Destroy in office monthly, bimonthly, quarterly, or semi-annual reports after 3 years. c) Destroy in office daily or periodic reports concerning workload measurements, time studies, productivity, services rendered, or other similar records after 1 year. d) Destroy in office drafts and other work product upon completion of final report.</p>	
1.36	<p>SAFETY DATA SHEETS Forms supplied from manufacturers and distributors of hazardous materials for materials held by the University.</p>	<p>Destroy in office 30 years after materials have been disposed of according to manufacturer’s instructions.</p> <p><i>Note: A data sheet for a mixture may be discarded if the new data sheet includes the same hazardous chemicals as the original formulation. If the formulation is different, both data sheets must be retained for 30 years. Data sheets may also be discarded if some other record identifying the substances used, where they were used, and when they were used is retained the required 30-year period.</i></p>	Retention: 29 CFR 1910.1020(d)(1)(ii)(B)

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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1

Series #	Records Series Title and Description	Disposition Instructions	Citation
1.37	<p>SELF-STUDY RECORDS Records documenting self-studies conducted within the University to identify and describe goals and performance over time. Includes program reviews, reports, correspondence, and other related records.</p> <p><i>See also: Accreditation Records (page 1, item 1.1)</i></p>	Transfer to University Archives upon completion of study for appraisal and final disposition.	
1.38	<p>SHUTTLE SERVICE RECORDS Records concerning shuttle service provided by the University. Includes locations of stops, schedule, passenger totals, and other related records.</p>	Destroy in office after 1 year.	
1.39	<p>SPEECHES, STATEMENTS, AND ADDRESSES Records documenting speeches, statements, addresses, and presentation written and delivered by University faculty and staff in connection with University business. Includes final copies, audio and video recordings, and working papers.</p>	<p>a) Transfer recordings and final copies to University Archives after 5 years.</p> <p>b) Destroy in office remaining records when reference value ends. ± University Policy: Destroy after _____</p>	
1.40	<p>STAFF AND FACULTY MEETING RECORDS Records documenting staff and faculty meetings. Includes agendas, minutes, reports, and other related records.</p>	Transfer to University Archives after 5 years.	
1.41	<p>STRATEGIC PLANS Records documenting systematic planning for the University. Includes business plans, goals and mission statements, and strategic plans.</p> <p><i>See also: Policies and Procedures (page 8, item 1.25)</i></p>	<p>a) Transfer goals, mission statements, and strategic plans to University Archives when superseded or obsolete for appraisal and final disposition.</p> <p>b) Destroy in office business plans 2 years after execution of plan.</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.42	SUPPLIES AND EQUIPMENT Records documenting supplies and equipment used by the University. Includes operating manuals, warranties, and other related records. Also includes records documenting the checkout of University equipment.	a) Destroy in office checkout records 1 year after return of equipment. b) Destroy in office remaining records when superseded or obsolete.	
1.43	SURPLUS PROPERTY Records documenting surplus property held at the University. Includes inventories and disposal logs.	Destroy in office 3 years after property disposal.	
1.44	SURVEYS Records documenting surveys distributed to and collected from constituents addressing University services, policies, and other concerns. Includes surveys and conclusions.	a) Transfer aggregated results and conclusions to University Archives after 5 years for appraisal and final disposition. b) Destroy in office remaining records when reference value ends. ± University Policy: Destroy after _____	
1.45	TRACKING MATERIALS Records documenting the receipt of information. Includes certified mail receipts, postage authorizations, and other related records.	Destroy in office when reference value ends. ± University Policy: Destroy after _____	
1.46	TRAVEL REQUESTS Records documenting requests for travel by University personnel. Includes forms, authorizations, and correspondence. <i>See also: Travel Reimbursements (page 31, item 5.23)</i>	Destroy in office after 3 closed fiscal years.	
1.47	UNIVERSITY CODE University standards for professionalism, ethics, and operations.	Transfer to University Archives when superseded or revised.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
1.48	VEHICLE OPERATIONS AND MAINTENANCE Records documenting the use and maintenance of University-owned vehicles. Includes request forms, inspection reports, accident reports, mileage logs, maintenance schedules, and other related records.	a) Destroy in office request forms and mileage logs after 3 years. b) Destroy in office remaining records upon disposition of vehicle.	
1.49	VEHICLE USAGE PERMITS Records documenting the registration of vehicles for usage on campus, including bicycles as well as motorized vehicles. Includes registration cards, permits, correspondence, and other related records.	Destroy in office 2 years after permit expires or is revoked.	

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2018 UNC General Records Retention and Disposition Schedule




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STANDARD 2: CAMPUS HOUSING RECORDS

Official records created and accumulated regarding the provision of housing in University facilities. Comply with relevant provisions of the Family Education Rights and Privacy Act of 1974 (FERPA) regarding the confidentiality of student records.

2

Series #	Records Series Title and Description	Disposition Instructions	Citation
2.1	GUEST REGISTERS Registers for guests of residential students.	Destroy in office after 2 years.	
2.2 	HOUSING APPLICATIONS Records regarding requests for housing in University facilities. Includes applications, correspondence, and other related records.	Destroy in office after 1 year.	Confidentiality: 20 USC 1232g (FERPA)
2.3 	HOUSING CHARGES APPEALS Records concerning decisions on refunds of housing deposits and/or dismissal of other charges. Includes policies, decisions, correspondence, and other related records.	Destroy in office 1 year after settlement.	Confidentiality: 20 USC 1232g (FERPA)
2.4 	HOUSING CONTRACTS Records documenting housing in University-owned facilities. Includes contracts, correspondence, cancellations, and other related records. Also includes reports documenting disciplinary actions brought for alleged violations of University rules and regulations in housing contracts. <i>See also: Agreements, Contracts, and Leases (page 42, item 8.1)</i>	a) Destroy disciplinary action reports in office 5 years after resolution. b) Destroy remaining records in office 3 years after termination of contract.	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
2.5	<p>HOUSING DAMAGES RECORDS Records documenting damages to student residence halls and assessment of repair costs. Includes damage assessment forms, reports, correspondence, and other related records. Also includes housing security reports.</p>	<p>a) Transfer records concerning damages assessed to individuals to Registrar’s Office and Business Affairs. b) Destroy in office remaining records after 3 years.</p>	
2.6	<p>HOUSING KEY RECEIPTS Records documenting the distribution of keys to students and conference attendees. Includes signature cards, logs, and other related records.</p>	<p>Destroy in office 1 year after return of key.</p>	

2

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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3

STANDARD 3: DEVELOPMENT AND ALUMNI RECORDS

Official records created and accumulated regarding University financial development and advancement efforts and other interactions with alumni.

Note: Pursuant to G.S. § 116-30.20, UNC institutions may establish private, nonprofit corporations to support the institution. Although these associated entities and foundations can use these disposition instructions as a model of best practice for their records retention, they are not bound by public records law.

Series #	Records Series Title and Description	Disposition Instructions	Citation
3.1	ALUMNI ASSOCIATION RECORDS Records documenting the University's and individual units' alumni associations. Includes correspondence, publications, reports, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.	
3.2	ALUMNI CONTACT INFORMATION Lists of names, addresses, phone numbers, and other contact information for University alumni.	Destroy in office when superseded or obsolete.	
3.3 	ANNUAL GIVING FUND RECORDS Records documenting fundraising efforts on behalf of the University's annual fund campaigns. Includes correspondence, acknowledgements, reports, financial records, brochures, and other related records. Also includes records related to one-time or recurring gifts to specific entities within the University.	a) Transfer reports and brochures to University Archives after 3 years for appraisal and final disposition. b) Destroy in office remaining records after 3 closed fiscal years.*	Confidentiality: G.S. § 132-1.10

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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3

Series #	Records Series Title and Description	Disposition Instructions	Citation
3.4 	CAPITAL CAMPAIGN RECORDS Records documenting fundraising efforts on behalf of University capital campaigns. Includes correspondence, acknowledgements, reports, financial records, brochures, and other related records.	a) Transfer reports and brochures to University Archives after 3 years for appraisal and final disposition. b) Destroy in office remaining records after 3 closed fiscal years.*	Confidentiality: G.S. § 132-1.10
3.5 	ENDOWMENT, FOUNDATION, AND TRUST AGREEMENTS Records documenting the creation and administration of endowments, foundations, and trusts administered by or benefitting the University. Includes correspondence, executed agreements, and other related records.	When agreement becomes inactive, transfer to University Archives for appraisal and final disposition.	Confidentiality: Abide by any restrictions established in donor agreement
3.6	FRIENDS GROUPS OR ADVISORY BOARDS Records documenting the efforts of support groups created to assist with the development and coordination of institutional programs. Includes establishing documents, bylaws, agendas, minutes, correspondence, reports, newsletters, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.	
3.7 	GIFTS-IN-KIND RECORDS Records documenting in-kind donations to the University. Includes data about donors and donations.	Destroy in office when reference value ends. ± University Policy: Destroy after _____	Confidentiality: Abide by any restrictions established in donor agreement

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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3

Series #	Records Series Title and Description	Disposition Instructions	Citation
3.8	INVESTMENT MANAGEMENT RECORDS Records documenting the actions of money managers investing funds on behalf of the University. Includes monthly, quarterly, and annual reports, statements, trade tickets and broker confirmations, exchange or consent instructions, investments strategy and other due diligence documents, and other related records.	Destroy in office after 3 years.	
3.9 	LIFE INCOME AGREEMENTS Records documenting life income donor agreements. Includes correspondence, reports, and other related records.	Destroy in office 10 years after expiration of agreement.	Confidentiality: Abide by any restrictions established in donor agreement
3.10 	MAJOR AND PLANNED GIFTS Records documenting the University's coordination of gifts and giving policies. Includes correspondence, reports, financial records, policies, legal opinions, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.	Confidentiality: Abide by any restrictions established in donor agreement G.S. § 132-1.10
3.11 	PROSPECTS RECORDS Records documenting University efforts to develop donors. Includes correspondence, biographical and financial data, and other related records.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.10


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Series #	Records Series Title and Description	Disposition Instructions	Citation
3.12 	<p>SCHOLARSHIPS AND AWARDS Records documenting the creation and distribution of University scholarships and other financial awards. Includes correspondence, acknowledgements of gifts, conditions of scholarship, applications, recommendations, names of recipients, financial records, photographs, and other related records.</p> <p><i>See also: Awards and Honors Records (page 3, item 1.6)</i></p>	<p>a) Transfer award notifications, recipient information, and publicity information to University Archives when reference value ends for appraisal and final disposition.</p> <p>b) Destroy in office remaining records after 3 closed fiscal years.*</p>	<p>Confidentiality: G.S. § 132-1.7</p>

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2018 UNC General Records Retention and Disposition Schedule

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STANDARD 4: FACILITIES RECORDS
 Official records created and accumulated regarding the construction and maintenance of campus buildings and other facilities.

4

Series #	Records Series Title and Description	Disposition Instructions	Citation
4.1	AIR EMISSIONS AND WASTEWATER RECORDS Records documenting air emissions permits and inventory as well as wastewater National Pollutant Discharge Elimination System (NPDES) permits. Includes inventories, reports, permits, and other related records.	Destroy in office when superseded or obsolete.	
4.2	BLUEPRINTS, PLANS, AND DRAWINGS Blueprints and specifications of University-owned building and facilities. Includes drawings, blueprints, floor plans, surveys, property maps, as-built plans and related records concerning approved changes.	a) Transfer to new owner when University relinquishes ownership of building or facility. b) Transfer remaining records to University Archives upon completion of project for appraisal and final disposition.	Confidentiality: G.S. § 132-1.7
4.3	BUILDING ENERGY PROFILES Records documenting energy profiles of campus buildings. Includes data, reports, and other related records.	Destroy in office after 5 years.	
4.4	BUILDING RESERVES Records documenting budget requests for day-to-day maintenance on individual campus buildings submitted to the State Legislature for approval and funding. Includes budgetary analyses and other related records. <i>See also: Budget Records (page 27, item 5.6)</i>	a) Transfer funding schedules and related records to Budget Records when approved. b) Destroy in office remaining records when reference value ends. ± University Policy: Destroy after _____	

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2018 UNC General Records Retention and Disposition Schedule

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4

Series #	Records Series Title and Description	Disposition Instructions	Citation
4.5	BUILDING USE Records documenting the use of campus facilities. Includes summaries of building usage, reports, space reservations (including carrels), permits, and other related records.	a) Transfer summaries and reports to University Archives after 5 years for appraisal and final disposition. b) Destroy in office all remaining records after 1 year.	
4.6	 CAPITAL IMPROVEMENTS PROPOSALS Proposals submitted by architects for new capital improvements. (Capital projects are defined as projects larger than \$300,000.) Includes proposals, correspondence, architectural drawings, and related documentation.	a) Transfer successful proposals to the appropriate Capital Improvements file after the contract is awarded. b) Destroy in office unsuccessful proposals 2 years after contract has been awarded.*	Confidentiality: G.S. § 132-1.7
4.7	 CAPITAL IMPROVEMENTS RECORDS Records documenting capital improvements on campus. (Capital projects are defined as projects larger than \$300,000.) Includes accepted architect’s proposal, plans, reports, and other related records. <i>See also: Capital Improvements Accounting Records (page 28, item 5.7)</i>	Transfer to University Archives 5 years after completion of project for appraisal and final disposition.	Confidentiality: G.S. § 132-1.7
4.8	CLEAN AIR ACT RECORDS Records documenting University efforts to comply with Clean Air Act regulations and standards and to obtain Title V operating permits. Includes reports, applications, permits, and other related records.	a) Retain applications and permits in office permanently. b) Destroy in office remaining records 5 years after date of permit.	
4.9	ENERGY CONSERVATION Records documenting measures undertaken by the University to conserve energy. Includes plans, reports, and other related records.	Destroy in office after 15 fiscal years.	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
4.10	<p>ENERGY STUDIES Records documenting the University's studies of alternative energy sources. Includes wind studies, municipal solid waste studies, torrefied wood studies, alternative/renewable fuels studies, and other related records.</p>	Transfer to the University Archives after 5 years for appraisal and final disposition.	
4.11	<p>HAZARDOUS MATERIALS MANAGEMENT Records documenting University efforts to prevent and mitigate exposure to hazardous materials. Includes risk assessments, management plans, and abatement/removal records.</p> <p><i>See also: Safety Data Sheets (page 11, item 1.36)</i></p> <p><i>Note: Title 10A of the NC Administrative Code provides guidelines about the records requirements for persons who receive, possess, use, transfer, own or acquire any sources of radiation within the State of North Carolina.</i></p>	<p>a) Retain in office permanently records documenting hazardous waste disposal sites on University property and documenting the use of pathogens and biological toxins (select agents) at the University.</p> <p>b) Destroy in office asbestos records 1 year after building is demolished. <i>(Note: If building is sold, transfer records to new owner.)</i></p> <p>c) Destroy in office hazard mitigation plans 3 years after superseded or obsolete.</p> <p>d) Destroy in office records documenting environmental and hazardous waste remediation projects 5 years after project completion.</p> <p>e) Destroy in office records concerning the receipt, maintenance, and disposal of radioactive materials after 5 years.</p> <p>f) Destroy in office remaining records after 30 years.</p>	
4.12	<p>INVENTORIES Lists of properties, facilities, fixed assets, and supplies.</p> <p><i>See also: Surplus Property (page 13, item 1.43)</i></p>	Destroy in office when superseded or obsolete.	


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Series #	Records Series Title and Description	Disposition Instructions	Citation
4.13	<p>MAINTENANCE, REPAIR, AND INSPECTION Records documenting maintenance, housekeeping, repair, and inspection of University-owned facilities and equipment. Includes correspondence, environmental monitoring records, work orders, inspection records, certifications for operation, and logs. Also includes pest control records.</p> <p><i>See also: System Maintenance Records: Hardware Repair or Service (page 40, item 7.16) and Laboratory Equipment Maintenance (page 99, item 18.34)</i></p>	<p>a) Destroy in office certifications 3 years after expiration.</p> <p>b) Destroy in office records documenting routine inspections, janitorial cleaning, environmental monitoring, and routine maintenance after 1 year.</p> <p>c) Destroy in office records documenting all other maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.</p>	
4.14	<p> NON-CAPITAL IMPROVEMENTS Records documenting repairs and renovations to existing facilities. (Non-capital improvements projects are defined as projects less than \$300,000.) Includes plans, reports, and other related records.</p>	Destroy in office 5 years after completion or termination of project.*	Confidentiality: G.S. § 132-1.7
4.15	<p>RATE RECORDS Records documenting the management and administration of Facilities Services recharge rates. Includes summaries of labor rates, comparative studies, reports, and other related records.</p>	Destroy in office after 5 years.	
4.16	<p>RESTRICTED USE PESTICIDE RECORDS Records documenting the use of restricted use pesticides. Includes reports and other related records.</p>	Destroy in office 3 years after date of application of the pesticide.	Retention: G.S. § 143-466(a)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
4.17	<p>STREAM RESTORATION REPORTS Records documenting stream restoration projects.</p>	<p>Destroy in office 5 years after project completion.* <i>Note: Comply with applicable requirements of the NC Department of Environmental Quality and the U.S. Environmental Protection Agency.</i></p>	
4.18	<p>WORK ORDERS Requests for services or repairs. Includes service tickets, estimates, correspondence, and other related records.</p> <p><i>See also: Information Technology Assistance Records (page 38, item 7.9)</i></p>	<p>Destroy in office 1 year after completion of work.</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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STANDARD 5: FINANCIAL RECORDS

Financial records enable oversight of the financial resources and obligations of the University.

Note: Audit reports are included under Administrative Records. The Comprehensive Annual Financial Report (CAFR) is part of Publications under Administrative Records. Loans, scholarships, and business assistance provided by the University are under Student Financial Aid Records.

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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.1	ACCOUNTS PAYABLE Records documenting the status of accounts in which the University owes money to firms or individuals. Includes invoices, reimbursements, receipts, bills, check registers, and subsidiary registers.	Destroy in office after 3 closed fiscal years.*	
5.2	ACCOUNTS RECEIVABLE Records documenting receivables owed to and collected by the University. Includes billing statements, records of payment received, remittances, subsidiary registers, overpayment or refund records, deposits, fines and fees assessed, and collection of past due accounts.	Destroy in office after 3 closed fiscal years.*	
5.3	ACCOUNTS UNCOLLECTABLE Records of accounts deemed uncollectable. Includes returned checks, write-off authorizations, and other related records.	Destroy in office 3 closed fiscal years after determined uncollectable.*	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

This schedule applies to all records regardless of format (unless otherwise specified).



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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.4 	BIDS AND PROPOSALS Records documenting University plans to purchase equipment, supplies, or services. Includes applications, bids, notices, evaluations, Invitations for Bids (IFB), Requests for Proposal (RFP), and Requests for Quote (RFQ), and other related records.	a) Destroy in office records concerning rejected bids and proposals as well as unopened bids 1 year after receipt.* b) Destroy in office records documenting accepted bids/ proposals/quotes to supply the University with goods or services 5 years after termination of contract.* c) Destroy in office notices, evaluations, and other related records when reference value ends. ± University Policy: Destroy after _____	Confidentiality: G.S. § 132-1.10 G.S. § 136-28.5
5.5	BOND RECORDS Records documenting bonds issued by and bonds bought by the University.	a) Retain in office permanently records concerning the sale of bonds issued by the University. b) Destroy in office vouchers, disbursements, payables of Certificates of Participation, and other records related to creditors 3 years after final redemption. c) Destroy in office records concerning expenditure and/or investment of bond proceeds 3 years after final distribution.	
5.6	BUDGET RECORDS Records the creation and execution of University budgets. Includes requests, forms, worksheets, resolutions, revisions, cost accounting reports, monthly budget reports, reversions and continuations, correspondence, and other related records. Also includes the official budget report. <i>See also: Building Reserves (page 21, item 4.4)</i>	a) Transfer annually 1 copy of official budget report to University Archives. b) Destroy in office remaining records after 3 closed fiscal years.*	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.7	<p>CAPITAL IMPROVEMENTS ACCOUNTING RECORDS Records documenting capital improvement project budgets and accounting. Includes accounting and financial records, vouchers, checks, purchase orders, reports, and other related records.</p> <p><i>See also: Capital Improvements Records (page 22, item 4.7)</i></p>	Destroy in office 6 closed fiscal years after project is completed.*	
5.8	<p>DISBURSING ACCOUNT STATEMENTS Statements received from the Department of the State Treasurer indicating monthly activity, beginning and ending balances, and other related information.</p>	Destroy in office after 3 closed fiscal years.*	
5.9	<p> ELECTRONIC FUNDS TRANSFERS Records authorizing electronic transfer of monies via wire transfer or automated clearing house (ACH). Includes direct deposit forms and ACH bank reports.</p>	Destroy in office when superseded or obsolete.*	Confidentiality: G.S. § 132-1.2
5.10	<p>ESCHEATS Records concerning escheated funds reverting to the State of North Carolina. Includes reports filed with the State Treasurer along with forms, claim inquiries, and other related records.</p>	Destroy in office 5 closed fiscal years after filed.	Retention G.S. § 116B-73
5.11	<p>FINANCIAL RECORDS SYSTEM Budget information shared by all University departments and used to track revenue and expenditures and create financial reports.</p>	Purge data after 3 closed fiscal years.*	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.12	JOURNALS AND LEDGERS Records documenting receipts, collections, and disbursements not in the North Carolina Accounting System (NCAS). Includes year-end summaries, profit and loss statements, and other related records.	a) Destroy in office year-end summaries and profit and loss statements after 3 closed fiscal years.* b) Destroy in office remaining records after 1 closed fiscal year.*	
5.13	LOAN RECORDS Records concerning loans received by the University. Includes applications, documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records. <i>See also: Loan Administration Records (page 83, item 15.6)</i>	Destroy in office 5 closed fiscal years after satisfaction or cancellation of loan.*	
5.14	MEMBERSHIP FEES Records documenting the participation of University students, faculty, staff, alumni, or other constituents in campus organizations that require fees.	Destroy in office when superseded or obsolete.	
5.15	 PAYMENT CARD DATA Records created in association with payment card transactions entered by third parties for the purchase of goods or services from the University.	Destroy in office as soon as transaction is finalized.	Confidentiality: G.S. § 132-1.10
5.16	PURCHASE ORDERS AND VOUCHERS Authorizations and other documents concerning purchased goods or services. Also includes procurement card authorization logs.	Destroy in office after 5 closed fiscal years.*	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.17	RECONCILIATIONS Records documenting the flow of University funds. Includes statements, cancelled checks, cash receipts, deposit slips, credit/debit card receipts, and reports.	Destroy in office after 3 closed fiscal years.*	
5.18	REQUISITIONS Records documenting requests to acquire goods or services or transfer funds between accounts.	Destroy in office after 1 closed fiscal year.*	
5.19 	STUDENT ACCOUNTS Records concerning individual student accounts, including meal plans. Includes adjustments of tuition fees, refunds, damages, records of payments/credits, statements of charges, and other related records.	a) Destroy in office records concerning settled accounts after 3 closed fiscal years.* b) Destroy in office remaining records when account is settled or designated uncollectable.*	Confidentiality: G.S. § 132-1.10
5.20 	TAX FORMS Tax information returns generated by the University (e.g., 1098, 1099, W-2) to be reported to the Internal Revenue Service (IRS) and furnished to the other party to the transaction.	Destroy in office after 5 years after submitted to taxpayer/IRS.*	Confidentiality: G.S. § 132-1.10 Retention: 04 NCAC 24D .0501 IRS Publication 15
5.21	TAX RETURNS Tax returns filed by the University.	Destroy in office after 6 closed fiscal years.*	
5.22 	TICKET SALES RECORDS Records documenting the sale of tickets to campus events. Includes buyer personal and financial information and seat location.	Destroy in office after 3 closed fiscal years.*	Confidentiality: G.S. § 132-1.10


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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
5.23 	<p>TRAVEL REIMBURSEMENTS Records regarding University travel. Includes documentation of advance payments and reimbursements.</p> <p><i>See also: Travel Requests (page 13, item 1.46)</i></p>	Destroy in office after 5 closed fiscal years.*	Confidentiality: G.S. § 132-1.10 Retention: 04 NCAC 24D .0501

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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STANDARD 6: GRANTS AND RESEARCH RECORDS

Official records created and accumulated regarding the oversight and implementation of University grants, research, and sponsored programs.

Notes: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after final disposition of the property/equipment. If there is a discrepancy between the retention period listed here and that required by the funder, abide by the more restrictive requirement.

Some grant and research records may include documentation about University personnel or students that should remain confidential according to G.S. § 126-22 and the Family Educational Rights and Privacy Act (20 USC 1232g); some may include patient-related medical records that should remain confidential according to the Health Information Portability and Accountability Act (42 USC 1320d-2(d)(2)); some may include trade secrets that should remain confidential according to G.S. §§ 66-152 and 132-1.2(1).

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Series #	Records Series Title and Description	Disposition Instructions	Citation
6.1	ANIMAL CARE RECORDS Records documenting programs that oversee use of animals in scientific research. Includes general program records, minutes, reports, allegations of animal misuse by University personnel, correspondence, and other related records.	a) Destroy in office records of employee reports of misuse of animal subjects when all administrative and legal issues are resolved. b) Destroy in office remaining records after 3 years.	
6.2 	ANIMAL RESEARCH RECORDS Records documenting the use of animals for research. Includes manifests, disposition logs, reports, correspondence, and other related records.	Destroy in office 3 years after final disposition of animals.	Confidentiality: <i>S.E.T.A. UNC-CH v. Huffines</i> , 101 N.C. App. 292, 399 S.E.2d 340 (1991) Retention: 9 CFR 2.35 (f)

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
6.3 	COMPLAINTS, DEVIATIONS, AND VIOLATIONS Records documenting complaints related to a specific study or principal investigator under review by the Office of Human Research Ethics (OHRE). Includes complaints, correspondence, and other related records.	Destroy in office 3 years after conclusion of study or resolution of complaint, whichever is longer.*	Confidentiality: G.S. § 126-22 20 USC 1232g
6.4	GRANT RECORDS Records documenting grant proposals written and submitted by the University and its units. Includes applications and proposals, notices of award, accounting records, progress reports, contracts, research data, indirect cost/returned overhead reports, time and effort reports, correspondence, and other related records. <i>See also: Student Organization Grant Records (page 35, item 6.9)</i>	a) Transfer approved proposals, award documents, final reports, and deliverables to University Archives after 5 years for appraisal and final disposition. b) Destroy in office rejected applications and proposals when reference value ends. ± University Policy: Destroy after _____ c) Destroy in office remaining records for state-funded grants (including internally funded projects) 5 years after final financial report is submitted.* d) Destroy in office remaining records for federally-funded grants 3 years after final financial report is submitted.* e) Destroy in office remaining records for other externally-funded grants according to the terms of the grant agreement.*	Retention: 09 NCAC 03M .0703 2 CFR 200.333
6.5	INSTITUTIONAL REVIEW BOARD (IRB) OPERATIONS RECORDS Records documenting the daily operations of the IRB. Includes agendas, minutes, correspondence, procedures, and other related records. <i>See also: Institutional Review Board (IRB) Study Records (page 34, item 6.6)</i>	Transfer to University Archives after 3 years for appraisal and final disposition.	Authority: 21 CFR 56.115(a) 45 CFR 46.115(a)

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
6.6	<p>INSTITUTIONAL REVIEW BOARD (IRB) STUDY RECORDS Records documenting the review of protocols for the use of human subjects. Includes applications for review, funding proposals, master protocols, consent documents, data collection and recruitment materials, evaluations, progress reports, monitoring reports, reportable event reports, reliance agreements, and other related records.</p> <p><i>See also: Institutional Review Board (IRB) Operations Records (page 33, item 6.5)</i></p>	<p>a) Destroy in office records concerning studies that were approved 3 years after completion date of the research study.* b) Destroy in office records concerning studies that were determined to be exempt or not human subject research 3 years after the determination, provided the research is complete.* c) Destroy in office records concerning external agreements 3 years after the completion date of the research study.* d) Destroy in office records concerning research that is disapproved 3 years after submission of the application.*</p>	
6.7	<p>LIVE TISSUE RESEARCH RECORDS Records documenting the use of live tissue in research. Includes manifests, disposition logs, reports, correspondence, and other related records.</p>	<p>Destroy in office 7 years after final disposition of tissue.</p>	
6.8	<p>RESEARCH DATA SETS Data sets used to produce reports by any unit in the University. Includes data sets used to produce compliance reports and/or other standard reports.</p>	<p>Retain in office permanently, unless otherwise specified by terms of contract.</p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
6.9	<p>STUDENT ORGANIZATION GRANT RECORDS Records documenting grants provided to student organizations for public service projects. Includes applications, reviews, award notifications, accounting records, correspondence, and other related records.</p> <p><i>See also: Grant Records (page 33, item 6.4)</i></p>	<p>a) Transfer approved proposals, award documents, final reports, and deliverables to University Archives after 5 years for appraisal and final disposition. b) Destroy in office unfunded applications after 1 year. c) Destroy in office remaining records 5 years after final financial report is submitted.</p>	
6.10	<p>UNIVERSITY RESEARCH COUNCIL RECORDS Records documenting the administration of the University Research Council and its awards and funding to campus faculty and staff. Includes applications for awards, accounting records, reports, correspondence, and other related records.</p>	<p>a) Transfer records of awarded funds to University Archives after 5 years for appraisal and final disposition. b) Destroy in office unfunded applications after 1 year. c) Destroy in office remaining records 5 years after final financial report is submitted.</p>	

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2018 UNC General Records Retention and Disposition Schedule

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STANDARD 7: INFORMATION TECHNOLOGY (IT) RECORDS

Information technology encompasses all activities undertaken by the University to design, develop and operate electronic information systems. This section covers records for which IT 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))

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Series #	Records Series Title and Description	Disposition Instructions	Citation
7.1 	AUDITS: SYSTEMS Records documenting user actions affecting the contents of monitored systems.	Destroy in office after disposition of record.*	Confidentiality: G.S. § 132-6.1(c)
7.2	COMPUTER AND NETWORK SECURITY INCIDENT RECORDS Records documenting incidents involving unauthorized attempted entry, probes, and/or attacks on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. Includes reports, logs, extracts, compilations of data, and other related records.	a) Destroy in office finalized cyber incident reports 5 years after incident is resolved. b) Destroy in office all remaining records after 10 days. <i>Note: If a unit is subject to Federal incident monitoring, all relevant security incident reporting must be retained until the Federal audit is complete.</i>	
7.3	COMPUTER AND NETWORK USAGE RECORDS Records documenting usage of electronic devices and networks. Includes login files, system usage files, individual program usage files, charge backs, data entry logs, security logs and records of use of the Internet by employees.	Destroy in office after 1 year.	

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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
7.4	DATA DOCUMENTATION RECORDS Records documenting data in automated systems. Includes data element dictionary, file layout, code book or table, entity relationships tables, and other records related to the structure, management, and organization of data.	Destroy in office 3 years after system is discontinued and/or replaced.	
7.5	DIGITIZATION AND SCANNING RECORDS Records documenting data entry and imaging operations. Includes scanning and data entry quality control records and audit reports along with analog inputs.	a) Destroy in office analog inputs 10 days after completion of quality control. b) Destroy in office remaining records after 1 year <i>Note: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.</i>	
7.6 	DISASTER PREPAREDNESS AND RECOVERY PLANS Records documenting the protection and reestablishment of data processing services and equipment in case of a disaster. <i>See also: Disaster and Emergency Management Plans (page 5, item 1.15)</i>	a) Retain in office permanently records documenting past recovery actions. b) Destroy in office all remaining records when superseded or obsolete. <i>Note: Disaster preparedness and recovery plans should be stored in a secure, off-site location.</i>	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
7.7 	ELECTRONIC RECORDS POLICIES AND PROCEDURES Includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy. <i>See also: Policies and Procedures (page 8, item 1.25)</i>	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)


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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
7.8	FIXITY CHECKS Periodic tests of the validity of data.	Destroy in office after 1 year.	
7.9	INFORMATION TECHNOLOGY ASSISTANCE RECORDS Records documenting troubleshooting and problem-solving assistance provided by University information systems personnel to users of the systems. Includes help desk assistance requests, work orders, site visit reports, service history, resolution records, and other related documentation. <i>See also: System Maintenance Records: Hardware Repair or Service (page 40, item 7.16), Work Orders (page 25, item 4.18)</i>	Destroy in office 1 year after work is completed.	
7.10	INTERNET SERVICE LOGS Records used to monitor access and use of services provided via Internet. Includes website logs, mail server logs, FTP logs, Telnet logs, and antivirus/anti-spam mail service logs.	Destroy in office after completion of applicable review and verification procedures.*	
7.11 	NETWORK AND SYSTEM SECURITY RECORDS Records documenting the security of network and system. Includes records concerning firewalls, anti-virus programs, and intruder scanning logs.	Destroy in office after 1 year.*	Confidentiality: G.S. § 132-6.1(c)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
7.12 	NETWORK DIAGRAMS Records documenting the logical and physical relationships of network components for purposes of organization, deployment, troubleshooting, monitoring of access, and management of day-to-day operations.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-6.1(c)
7.13	PROJECT DOCUMENTATION Records created to design, develop, control, or monitor a specific project or group of projects. Includes schematics, statements of work, assessments, maintenance agreements, and testing records. Also includes data migration records.	Destroy in office 3 years after completion of project.	
7.14	SYSTEM ACCESS RECORDS Records documenting audit trails such as user permissions and access to information, programs, or applications within a system.	Destroy in office 1 year after superseded or obsolete.	
7.15 	SYSTEM DOCUMENTATION RECORDS Records documenting operating systems, application programs, structure and form of datasets, system structure, and system-to-system communication. Includes system overviews, dataset inventories, server name, IP address, purpose of the system, vendor-supplied documentation, installed software, and current source code.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-1.1(g) G.S. § 132-6.1(c)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
7.16	<p>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE Records documenting inspection, maintenance, and repairs of University computer systems that are owned or leased. Includes computer equipment inventories and service records.</p> <p><i>See also: Maintenance, Repair, and Inspection (page 24, item 4.13)</i></p>	<p>a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year.</p> <p>b) Destroy in office remaining records upon final disposition of the equipment.</p>	
7.17	<p>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation.</p> <p><i>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.</i></p>	<p>a) Destroy in office backups in accordance with your University’s established, regular backup plan and procedures. University Policy: Destroy after _____</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p>	
7.18	<p>SYSTEM VALIDATION RECORDS Records documenting and/or used to update transactions in a database or master file. Includes logs, update files, and other related records.</p>	<p>Destroy in office when reference value ends. ± University Policy: Destroy after _____</p>	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
7.19	TECHNICAL PROGRAM DOCUMENTATION Records concerning program code, program flowcharts, program maintenance logs, systems change notices, and other related records that document modifications to computer programs.	Destroy in office 1 year after superseded or obsolete.	
7.20	VOICE OVER INTERNET PROTOCOL (VoIP) RECORDS Records documenting VoIP services provided at the University. Includes line registrations, call logs, and voicemail records.	a) Destroy in office line registrations when superseded or obsolete. b) Destroy in office call logs after 1 year. c) Destroy in office voicemail records after 30 days.	
7.21	WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE 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. Includes server environment configuration specifications. <i>See also: Public Relations Records (page 9, item 1.31)</i>	Destroy in office when superseded or obsolete.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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STANDARD 8: LEGAL RECORDS

Official records created and accumulated while protecting the rights, obligations, and interests of the University and its individual employees or constituents.

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Series #	Records Series Title and Description	Disposition Instructions	Citation
8.1	<p>AGREEMENTS, CONTRACTS, AND LEASES Records negotiated with consultants, vendors, and other parties to provide goods and services to the University and to establish other obligations.</p> <p><i>See also: Game Contracts (page 80, item 14.7), Grant Records (page 33, item 6.4), Housing Contracts (page 15, item 2.4)</i></p>	<p>a) Destroy in office sealed agreements 10 years after expiration of all rights and obligations.*</p> <p>b) Destroy in office agreements regarding capital improvements or business associate agreements 6 years after expiration of all rights and obligations.*</p> <p>c) Destroy in office all remaining records 3 years after expiration of all rights and obligations.*</p>	<p>Retention: G.S. § 1-47(2) G.S. § 1-50(a)(5) G.S. § 1-52</p>
8.2	<p>COPYRIGHT, PATENT, AND TRADEMARK RECORDS Records documenting the preparation, filing, and maintenance of copyrights, patents, and trademarks owned by the University. Also includes documentation of copyright infringements alleged by outside entities against individuals using campus equipment. Includes applications, registrations, notices, correspondence, and other related records.</p> <p><i>See also: Disciplinary Actions (Non-Academic) (page 88, item 17.2)</i></p>	<p>a) Transfer to University Archives when copyright, patent, or trademark expires or is not renewed for appraisal and final disposition.</p> <p>b) Destroy in office rejected proposals when reference value ends. ± University Policy: Destroy after _____</p> <p>c) Destroy in office records investigating possible infringements 1 year after resolution.*</p>	


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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
8.3	DELEGATION OF AUTHORITY RECORDS Records documenting delegations of power to authorize University business. Includes signature authorities and powers of attorney.	Destroy in office 1 year after superseded or obsolete.	
8.4	INSURANCE RECORDS Records documenting insurance and liability coverage for University property and for agents of the University. Includes correspondence, policies, certificates, audits, claims reports, surveys, endorsements, waivers, and other related records.	a) Destroy in office certificates of insurance after 1 year. b) Destroy in office records concerning automobile or other liability insurance policies 10 years after termination of policy. c) Destroy in office remaining records 1 year after termination of policy.	
8.5 	LEGAL COUNSEL RECORDS Records documenting legal opinions and counsel provided by the Office of General Counsel. Includes notifications, legal opinions, correspondence, and other related records.	a) Transfer notifications and legal opinions to University Archives when reference value ends for appraisal and final disposition. b) Destroy in office after 5 years correspondence and other related records concerning legal matters not related to specific legal cases or official opinions.	Confidentiality: G.S. § 132-1.1
8.6	LICENSES AND PERMISSIONS Records conferring legal permission. Includes licenses to use or produce goods or services, permits to host events in University facilities, as well as copyright permission requests received and granted by the University. <i>See also: Copyright, Patent, and Trademark Records (page 42, item 8.2)</i>	a) Destroy in office licenses, permits, and registrations 3 years after expiration. b) Destroy in office after 3 years one-time copyright permissions granted by or to the University. c) Retain in office permanently perpetual copyright permissions granted by or to the University. d) Destroy in office rejected requests when reference value ends. ± University Policy: Destroy after: _____	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
8.7 	LITIGATION CASE RECORDS Records concerning civil suits to which the University is a party. Includes affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, please, releases, statements, testimony, verdicts, waivers, warrants, and writs.	<ul style="list-style-type: none"> a) Transfer to University Archives cases having precedential or historical value for appraisal and final disposition. b) Destroy in office adjudicated cases 5 years after final disposition.* c) Destroy in office non-adjudicated cases 5 years after final disposition or expiration of relevant statute of limitations. 	Confidentiality: G.S. § 132-1.1 G.S. § 132-1.9
8.8	NOTARY PUBLIC RECORDS Records documenting University-related notary transactions completed by a notary public employed by the University. Includes log books, templates, seals, and other related records.	<ul style="list-style-type: none"> a) Return seal to NC Secretary of State as soon as is reasonably practicable after resignation, revocation, or expiration of a notary commission, or death of the notary. b) Destroy remaining records in office 7 years after expiration of notary public’s commission. 	Authority: G.S. 10B-36
8.9	PROPERTY/REAL ESTATE RECORDS Deeds, conveyances, or other instruments whereby the University has acquired title to any real property.	Transfer to University Archives upon disposal of property for appraisal and final disposition.	
8.10	RELEASE FORMS Records documenting release of the University from liability related to various activities involving students, faculty, staff, and visitors. Includes hold harmless provisions, liability waivers, and other related release forms.	Destroy in office 5 years after expiration.*	
8.11	SETTLEMENTS Records concerning informal settlements of contract or agreement disputes.	Destroy in office 10 years after expiration of settlement.	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
8.12	STUDENT LEGAL SERVICES RECORDS Records documenting the administration of student legal services. Includes correspondence, reports, financial records, budgets, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.	
8.13	SUBPOENAS AND AFFIDAVITS Records concerning information provided by the University in response to subpoena requests or other legal actions that are not attached to a specific litigation case file in which the University or an employee is a party. <i>See also: Litigation Case Records (page 44, item 8.7)</i>	Destroy in office 3 years after submission of records.	
8.14	VEHICLE TITLES AND REGISTRATION Titles and registration materials for University-owned vehicles.	a) Destroy in office registration materials when superseded or obsolete. b) Transfer title to new owner upon sale of vehicle.	

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2018 UNC General Records Retention and Disposition Schedule

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STANDARD 9: LIBRARY, ARCHIVES, AND MUSEUM RECORDS

Official records created and accumulated regarding the materials collected by campus libraries, archives, and museums and accessed by students, faculty, staff, and other patrons.

Series #	Records Series Title and Description	Disposition Instructions	Citation
9.1	ACCESSION RECORDS Records documenting accessions of materials to the archives and museums. Also includes documentation of accretions, accruals, and deaccessions.	Retain in office permanently.	
9.2	ACQUISITION RECORDS Records documenting acquisitions of books, periodicals, government documents, ongoing serials, and other materials. Includes purchase orders/requests, shipping information, cancellation/discontinued notices, check-in information, correspondence, and other related records.	a) Retain in office permanently material concerning rare publications. b) Destroy in office records concerning ongoing serials, periodicals, and microfilm copies 3 years after termination/cancellation of order or subscription.* c) Destroy in office all remaining records after 3 closed fiscal years.*	
9.3	APPROVAL PLAN RECORDS Records documenting materials received on approval. Includes correspondence, printouts of amount spent, number of books, LC classification, returns lists, ISBN number, approval plan profile, statistical data, reason returned, and other related records.	Destroy in office after 2 years.	
9.4	BINDING PATTERNS Records documenting bindery work. Includes patterns, templates, instructions, correspondence, and other related records.	Destroy in office when superseded or obsolete.	

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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
9.5	BORROWER APPLICATIONS Records documenting applications from community or non-University affiliated library users. Includes application forms, correspondence, and other related records.	Destroy in office 1 year after expiration or after 1 year of inactivity.	
9.6	CONSERVATION TREATMENT RECORDS Records documenting research and implementation of conservation treatments for items in library, archives, and museum collections. Includes reports, research notes, photographs, correspondence, and other related records. <i>See also: Bids and Proposals (for binding or other conservation work completed by outside vendors) (page 27, item 5.4)</i>	Retain in office permanently.	
9.7	DONOR RECORDS Records documenting materials donated to the library, archives, or museum. Includes forms, agreements, deeds of gift, correspondence, and other related records.	Retain in office permanently.	
9.8	FINDING AIDS Records documenting physical and intellectual control over materials in the University Archives and assisting users in gaining access to and understanding the materials. Includes indices, calendars, guides, inventories, shelf and container lists, and registers.	Destroy in office when superseded or obsolete.	

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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
9.9 	INTEGRATED LIBRARY SYSTEM (ILS) RECORDS Records documenting the administration and management of the ILS. Includes catalog, circulation data, reserve information, fines, patron information, bibliographic data, shelf lists/inventories, and interlibrary loan data.	<ul style="list-style-type: none"> a) Purge patron data and reserve information after 1 year. b) Purge cataloging and interlibrary loan records when superseded or obsolete. c) Purge financial data after 3 years. 	Confidentiality: G.S. § 125-19
9.10	LOAN RECORDS Records documenting materials temporarily loaned to other units of the University or to outside institutions for special exhibits. Includes loan negotiations and agreements, insurance, shipping and freight records, correspondence, and other related records.	Transfer to University Archives when reference value ends for appraisal and final disposition.	
9.11 	PATRON ACCESS RECORDS Records documenting access requests received by the archives. Includes call slips and registration information.	<ul style="list-style-type: none"> a) Destroy call slips in office after 5 years. b) Destroy remaining records in office after 5 years of inactivity. 	Confidentiality: G.S. § 125-19
9.12 	PATRON REFERENCE RECORDS Records documenting reference requests received by the library and archives. Includes log books, duplication requests, reference requests, correspondence, and other related records. <i>See also: Accounts Receivable (page 26, item 5.2)</i>	<ul style="list-style-type: none"> a) Destroy log book and duplication requests in office after 3 years. b) Destroy remaining records in office after 5 years. 	Confidentiality: G.S. § 125-19

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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STANDARD 10: PERSONNEL RECORDS

Official records that document the management of campus personnel. This section incorporates both the human and the payroll management aspects of personnel.

Many human resources records are confidential according to General Statute § 126-22 and § 126-24. Rather than list these citations beside each individual record, the lock symbol indicates confidentiality under this legislation; any *additional* confidentiality provisions are noted in the citation column. In addition, note that G.S. § 126-23 stipulates “the records [about employees] to which there is a right of inspection and copying” (including name; age; dates of employment, promotion, demotion, transfer, suspension, or separation; terms of contract; current position and title; and current salary along with dates of any increases or decreases). For personnel files of criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file.

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.1 	<p>ADMINISTRATIVE INVESTIGATIONS</p> <p>Records related to investigations of conduct problems among agency personnel. Includes complaints, investigation reports, disciplinary actions, and other related records.</p> <p><i>See also: Personnel File (page 58, item 10.35)</i></p>	<p>a) Destroy in office complaints lodged against personnel that are resolved without an internal investigation 3 years after resolution.*</p> <p>b) Destroy in office complaints lodged against personnel that are exonerated 5 years after final disposition.*</p> <p>c) Destroy in office complaints lodged against personnel that are settled out-of-court 5 years after final disposition or expiration of relevant statute of limitations.*</p> <p>d) Transfer internal affairs case records to individual Personnel File when complete.</p>	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.2	ADMINISTRATIVE PERSONNEL RECORDS Records concerning the assignment and oversight of agency personnel. Includes policies and procedures, memoranda. Also includes agreements and authorizations required of employees, orientation materials, and informational data.	a) Retain personnel policies and procedures in office permanently. b) Destroy in office memoranda after 5 years. c) Destroy in office remaining records when superseded or obsolete.	
10.3	AGGREGATE SERVICE HISTORY Records documenting complete history of employee's service.	Transfer to appropriate individual Personnel File when completed.	Authority: G.S. § 126-23
10.4	 APPLICATIONS FOR EMPLOYMENT Includes applications, requests for reasonable accommodation, and offers of employment. <i>See also: Search Committee Records, page 60, item 10.42.</i>	a) Transfer records for individuals hired to individual Personnel File when individual accepts position. b) Destroy in office applications that are not solicited and applications from individuals who are not hired or do not accept offered position 2 years after date of receipt.*	Retention: 29 CFR 1602.31 & .40 29 CFR 1627.3(b)(1)
10.5	APPRENTICE, INTERN, AND VOLUNTEER RECORDS Records concerning participants in apprenticeships, internships, and volunteer positions. Includes applications, selection materials, and affirmative action plans.	a) Destroy in office applications and selection materials for interns and volunteers after 2 years. b) Destroy in office remaining records after 5 years.	Authority: 29 CFR 30.4(a) 29 CFR 1602.20 Retention 29 CFR 30.12(d) 29 CFR 1602.21
10.6	APTITUDE AND SKILLS TESTING Records concerning aptitude and skills tests required of job applicants or of current employees seeking promotion or transfer.	Destroy in office after 2 years.	Retention: 29 CFR 1602.31 29 CFR 162.3(b)(1)(iv)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.7	BENEFITS CONTINUATION Records documenting notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave (e.g., Consolidated Omnibus Budget Reconciliation Act [COBRA]).	Destroy in office 3 years after employee returns or eligibility expires.	
10.8	BENEFITS RECORDS Records concerning the compensation of employees by means other than wages. Includes records describing health, life, retirement, and other insurance and fringe benefit plans available to University employees.	Destroy in office documentation about benefits plans 1 year after superseded or obsolete. <i>Note: Enrollment and claims forms should be filed with the benefits provider and do not need to be maintained on campus.</i>	Retention: 29 CFR 1627.3(b)(2)
10.9	BIOGRAPHICAL FILE Records documenting biographical information for faculty and staff. Includes curricula vitae, clippings, photographs, and speeches.	Transfer to University Archives 1 year after separation for appraisal and final disposition.	
10.10	CERTIFICATIONS AND QUALIFICATIONS Records concerning certification or qualification required for employment, continued employment, or promotion.	Destroy in office 5 years after expiration or employee separation.	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.11	<p>CIVIL RIGHTS RECORDS Records documenting policies and procedures to comply with the Age Discrimination in Employment Act (ADEA), the Americans with Disabilities Act (ADA), the Equal Pay Act, the Genetic Information Nondiscrimination Act (GINA), and the 1964 Civil Rights Act. Includes regulations, guidelines, reports, directives, procedures, recruitment plans, equal opportunity statements, full-time and EHRA non-faculty actions, employee discrimination/equal opportunity (EO) complaints, faculty employment reviews, correspondence, and other related records.</p>	<p>a) Transfer policies, guidelines, reports, compliance reviews, and affirmative action plans to University Archives after 5 years for appraisal and final disposition. b) Destroy in office employee discrimination complaints 1 year after final disposition of the charge or action. c) Destroy in office remaining records 3 years after superseded or obsolete.</p> <p><i>Note: 29 CFR 1602.14 defines final disposition of the charge or the action as “the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated.”</i></p>	<p>Retention: 29 CFR 1602.14 29 CFR 1602.30 29 CFR 1602.32 29 CFR 1602.39</p>
10.12	<p>CONFLICTS OF INTEREST Records documenting possible conflicts of interest between University employees and outside agencies.</p>	<p>a) Destroy in office records documenting no conflict of interest after 3 years. b) Destroy in office records documenting an actual or possible conflict of interest 6 years after resolution of conflict.</p>	
10.13	<p> CRIMINAL BACKGROUND CHECKS Records concerning pre-employment or periodic criminal records checks conducted on prospective or current staff, interns, and volunteers.</p>	<p>Destroy in office after 5 years.</p>	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.14 	DEDUCTION REGISTERS Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding, retirement contributions, bank payments, savings plans, insurance, dues, and other related records.	a) Destroy in office tax withholding records after 4 years.* b) Destroy in office remaining records 2 years after termination of deduction.*	Confidentiality: G.S. § 132-1.10 Retention: IRS Publication 15 29 CFR 516.6(c)(1)
10.15 	DISABILITY SHORT-TERM CLAIMS FORMS Claims completed by disabled employees to apply for short-term disability benefits.	Destroy in office 3 years after employee returns or separates.	
10.16 	DUAL AND SECONDARY EMPLOYMENT Records documenting employee requests to engage in dual employment within state government or universities or secondary employment with an outside employer.	a) Destroy in office approved requests 1 year after employee terminates outside employment. b) Destroy in office rejected requests 6 months after decision.	
10.17 	EDUCATIONAL LEAVE AND REIMBURSEMENT Records documenting approved requests for educational leave and tuition reimbursement. <i>See also: Leave File (page 56, item 10.29)</i>	a) Transfer approved requests to individual Personnel File 3 years after employee returns or separates. b) Destroy in office records concerning tuition assistance and reimbursement 3 years after payment.*	Confidentiality: G.S. § 132-1.10
10.18 	EMPLOYEE ASSISTANCE PROGRAMS Records documenting assistance and counseling opportunities. Includes requests for information, referrals, forms, releases, correspondence, and other related records.	Destroy in office after 3 years.	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.19 	EMPLOYEE MEDICAL RECORDS Records concerning medical and health status of University employees. Includes medical leave permit forms, workers' compensation injury reports, treatment reports, and other related records.	a) Destroy in office after 1 year records of physical examinations required by the employer in connection with any personnel action. b) Destroy in office after 5 years first aid records of minor job-related injuries. c) Destroy in office after 30 years records concerning asbestos, toxic substances, and bloodborne pathogen exposure. d) Destroy remaining records 30 years after separation. <i>Note: Records must be kept separately from employee's personnel jacket. At time of separation, provide medical records to employees who have worked for less than 1 year.</i>	Confidentiality: 29 CFR 1630.14(c)(1) 29 CFR 1910.1030(h)(1)(iii) Retention: 29 CFR 1627.3(b)(1)(v) 29 CFR 1910.1020(d)
10.20 	EMPLOYEE POLYGRAPHS Includes statements informing employee of the time, place, and reasons for the test; copy of notice sent to examiner identifying employee to be tested; and copies of opinions, reports, or similar records generated by the examiner and provided to the University.	Destroy in office after 3 years. (If no examination is given, destroy records 3 years from date test was requested.)	Retention: 29 CFR 801.30
10.21	EMPLOYEE SUGGESTIONS AND SURVEYS Completed staff or faculty surveys. Includes suggestions, surveys, and summary reports.	a) Transfer summary reports to University Archives after 5 years for appraisal and final disposition. b) Destroy in office suggestions and surveys after 1 year.	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.22 	EMPLOYMENT ELIGIBILITY VERIFICATION Includes E-Verify, I-9, and immigration documents along with Selective Service Registration compliance forms.	a) After separation, destroy in office I-9 forms 3 years from date of hire or 1 year after employee separation, whichever occurs later. b) Destroy in office immigrant or nonimmigrant petitions filed by the University 3 years after employee separation. c) Destroy in office employment authorization documents filed with the U.S. Department of Labor after 5 years. d) Destroy in office E-Verify forms and Selective Service Registration compliance forms 1 year after employee separation.	Authority: G.S. § 143B-421.1 Confidentiality: G.S. § 132-1.10 Retention: G.S. § 64-26(b) 8 USC 1324a(b)(3) 20 CFR 656.10(f)
10.23 	EXIT INTERVIEWS Interviews or questionnaires conducted with employees planning to separate from the University.	Destroy in office after 1 year.	
10.24	FACULTY COMPENSATION RECORDS Records documenting the allocation of unit funds for faculty compensation through the annual raise process (ARP). Includes reports, spreadsheets, correspondence, and other related records.	Destroy in office 1 year after final budget approval.	
10.25 	FAMILY MEDICAL LEAVE ACT (FMLA) Records documenting leave provided under FMLA. <i>See also: Leave File (page 56, item 10.29)</i>	Destroy in office 3 years after employee returns or separates.	Authority: 29 CFR 825.110 Retention: 29 CFR 825.500(b)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.26 	GARNISHMENTS Records concerning garnishments of employees' wages. Includes statements, forms, and correspondence.	Destroy in office 3 years after termination of deduction.*	
10.27 	GRIEVANCES Records documenting employee grievances and dispute resolution. Includes forms, statements, responses, hearing and conference notes, decisions, correspondence, and other related records.	Destroy in office 2 years after resolution of grievance.*	
10.28	LAPSED SALARIES Records concerning state-appropriated funds made available for reallocation through the circumstances of unused salaries.	Destroy in office after 2 years.*	
10.29 	LEAVE FILE Includes leave requests, monthly leave reports, yearly leave recapitulations, correspondence, and other related records. Includes civil leave, community service leave, and leave without pay records. <i>See also: Educational Leave and Reimbursement (page 53, item 10.17), Family Medical Leave Act (page 55, item 10.25), Military Leave (page 57, item 10.31)</i>	a) Destroy in office approved leaves requests 3 years after employee returns or separates. b) Destroy in office denied leave requests after 6 months.	
10.30 	LONGEVITY PAY Records concerning employees eligible for longevity pay.	Destroy in office after 7 years.	

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.31 	MILITARY LEAVE Records concerning approved requests for military leave provided under the Uniformed Services Employment and Reemployment Act (USERRA). <i>See also: Leave File (page 56, item 10.29)</i>	Destroy in office 3 years after employee returns or separates.	Authority: 5 CFR 1208
10.32	OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA) RECORDS Records concerning injury or illness, extent and outcomes, summary totals for calendar year, and OSHA forms. Includes ergonomic assessments for employees.	Destroy in office after 5 years.	Retention: 29 CFR 1904.33 29 CFR 1904.44
10.33	PAYROLL Records concerning salaries paid to employees (including employed apprentices or students, interns, contract employees, and temporary employees).	Destroy in office after 5 years.*	Authority: 29 CFR 516.30(a) Retention: 04 NCAC 24D .050129 CFR 516.5(a) 29 CFR 1627.3(a)
10.34 	PERFORMANCE EVALUATION AND MANAGEMENT Records documenting employees' goals and primary tasks. Includes work plans and performance evaluations.	a) Transfer administrative performance reviews for senior administrators and post-tenure review reports to individual Personnel File. b) Destroy in office remaining records after 3 years.	<i>Note: Only performance evaluations are confidential.</i>

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.35 	PERSONNEL FILE¹ Records documenting events in permanent and temporary individual's employment history that have long-term consequences for the employee and the University. Includes disciplinary actions, personnel action requests, salary changes, and other related records.	Destroy in office 30 years after separation.	
10.36 	PERSONNEL FILE: ONE TIME PAYMENTS Records documenting employees hired to fulfill temporary, short-term duties, including honoraria paid to visiting lecturers and consultants as well as to University staff and students who undertake duties outside and not in conflict with their regular work.	Destroy in office 3 years after payment date.*	Confidentiality: G.S. § 132-1.10
10.37 	PERSONNEL FILE: SEASONAL AND CONTRACT WORKER RECORDS Records documenting events in the short-term employment history of an individual not eligible for benefits.	Destroy in office 5 years after separation.*	Confidentiality: G.S. § 132-1.10

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¹ Includes both personnel Subject to and Exempt from the Human Resources Act.

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

This schedule applies to all records regardless of format (unless otherwise specified).



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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.38	<p>POSITION MANAGEMENT RECORDS Records documenting the management of employee positions allocated to the University. Includes abolished positions, position classifications, position control records, position descriptions, position evaluations (used to evaluate the primary purpose of a position), and position histories.</p>	<p>a) Destroy in office records concerning positions that have been abolished after 1 year. b) Destroy in office position control records and position descriptions when superseded or obsolete. c) Destroy in office position evaluations after 1 year. d) Retain in office permanently classification records and complete histories of salaried positions within the University.</p>	
10.39	<p> REAPPOINTMENT, PROMOTION, AND TENURE RECORDS Includes recommendations, reports, articles, curricula vitae, resumes, lists of publications, evaluations, research activities, and correspondence.</p>	<p>a) Transfer records concerning award of reappointment, promotion, or tenure to individual Personnel File when granted. b) Destroy in office remaining records after 2 years.* <i>Note: Dossiers and other artifacts should be returned at the conclusion of the decision process.</i></p>	
10.40	<p>RECRUITMENT RECORDS Includes ads and notices of overtime, promotion, and training as well as employment listings.</p>	<p>Destroy in office after 1 year.</p>	<p>Retention: 29 CFR 1627.3(b)(1)</p>




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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.41 	RETIREMENT BENEFITS Records documenting retirement systems, including employer-sponsored retirements plans (e.g., 401(k)), optional retirement plans, and deferred compensation plans.	a) Destroy in office descriptive information about retirement system 1 year after superseded or obsolete. b) Destroy in office records concerning payment of deferred compensation 3 years after payment. c) Destroy in office employer-sponsored retirement plan documents and amendments, trust records, annuity contracts, participants records, and other related records 7 years after payment of benefit. d) Transfer contract for optional retirement plan to carrier 13 months after employee separates from the University; destroy in office remaining 5 years after separation and/or withdrawal from the plan.	
10.42 	SEARCH COMMITTEE RECORDS Records pertaining to the evaluation of candidates for a position. Includes forms, interview notes, policies, reports, charges, rosters, minutes, ballots, correspondence, and other related records. <i>See also: Applications for Employment, page 50, item 10.4.</i>	a) Transfer pertinent materials of successful candidates to individual Personnel File immediately after official offer of employment is accepted. b) Destroy in office remaining records pertaining to successful candidates 3 years after the position is filled. c) Destroy in office application materials of unsuccessful candidates and all remaining records 3 years after the position is filled.*	
10.43 	SHIFT PREMIUM PAY Authorizations and other related records concerning employees receiving shift premium pay.	Destroy in office 5 years after payment.*	Retention: 04 NCAC 24D .0501

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.44	STATEMENTS OF BACK PAY Forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or a State Human Resources Commission order.	Destroy in office 3 years after payment.*	
10.45 	STUDENT ASSISTANTS/WORK-STUDY STUDENTS Includes evaluations, job descriptions, and correspondence.	Destroy in office 3 years after student terminates employment.	Confidentiality: G.S. § 132-1.10 20 USC 1232g
10.46	TIME SHEETS Includes time sheets or time cards recording daily hours worked. <i>Note: Time sheets that contain only information necessary for payroll purposes are public records, while those that also include personnel information and/or PII may be in part confidential.²</i>	Destroy in office after 5 years.	Retention: 04 NCAC 24D .0501 29 CFR 516.6(a)(1)

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² <https://canons.sog.unc.edu/are-local-government-employee-time-sheets-public-records-applying-the-framework-for-answering-questions-about-public-records-requests/>

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.47	<p>TRAINING RECORDS Records documenting training programs for University personnel. Includes training manuals, syllabi and course outlines, registration forms and certificates, and other related records.</p> <p><i>See also: Conferences, Training Programs, Lectures, and Workshops (page 4, item 1.11)</i></p>	<p>a) Destroy in office training materials when superseded or obsolete.</p> <p>b) Transfer certification of completion to individual Personnel File if training is required or could affect career advancement.</p> <p>c) Destroy in office asbestos training records 1 year after employee separation.</p> <p>d) Destroy in office bloodborne pathogen training records after 3 years.</p> <p>e) Destroy in office hazardous waste training records after 5 years.</p> <p>f) Retain records documenting law enforcement training in office permanently.</p> <p>g) Destroy in office remaining records after 2 years.</p>	<p>Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1) 29 CFR 1910.120(p)(8) 29 CFR 1910.1001(m)(4) 29 CFR 1910.1030(h)(2)</p>
10.48	<p>VERIFICATIONS OF EMPLOYMENT Includes inquiries and responses concerning verification of an employee’s prior or current employment with the University.</p>	Destroy in office after 1 year.	
10.49	<p>VOLUNTARY SHARED LEAVE Includes applications, forms, requests, leave reports, and correspondence.</p>	Destroy in office after 3 years.	
10.50	<p>WORKERS’ COMPENSATION PROGRAM ADMINISTRATION Includes program policies, guidelines, and other related records. Also includes agency’s working file for employee claims.</p>	<p>a) Destroy in office employee-specific records 5 years after employee returns to work or separates from agency.</p> <p>b) Destroy in office remaining records when superseded or obsolete.</p> <p><i>Note: Claims forms should be filed with the NC Industrial Commission and do not need to be retained in office.</i></p>	

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
10.51	WORK SCHEDULES Records concerning shift and duty assignments.	Destroy in office after 1 year.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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STANDARD 11: PUBLIC SAFETY RECORDS

Official records created and accumulated by campus police agencies and police officers. According to the Campus Police Act, the “each campus police agency is the legal custodian of all books, papers, documents, records of criminal investigations or of criminal intelligence information, or other records and property maintained by the campus police agency” (G.S. § 74G-5.1).

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Series #	Records Series Title and Description	Disposition Instructions	Citation
11.1	ACCIDENT REPORTS Reports about accidents involving campus students, faculty and staff, or visitors.	a) If report involves an adult visitor, destroy in office 3 years after settlement or denial of claim.* b) If report involves a minor visitor, destroy in office after minor reaches age of 21.* c) If report involves a student, transfer to Student Health Services, Student Medical Records. d) If report involves a University employee but does not result in workers’ compensation, destroy in office 3 years after settlement or denial of claim.* e) If report does not result in claims or official action, destroy in office after 3 years.*	
11.2	ALARM MONITORING REPORTS Fire and security alarm reports documenting the monitoring and testing of fire and security alarms.	Destroy in office after 7 years.	
11.3	BANS AND TRESPASS WARNINGS Records documenting campus bans and trespass warnings.	Destroy in office 2 years after expiration of ban or trespass warning.	



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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
11.4	BREATH ALCOHOL TESTING INSTRUMENT PREVENTIVE MAINTENANCE FILE Records documenting preventive maintenance on the University's breath alcohol testing instrument. Includes serial numbers, locations of maintenance, diagnostic checks, and other related records.	Destroy in office after 3 years.*	Retention: 10A NCAC 41B .0323
11.5	BUILDING AND GROUNDS SECURITY Records documenting routine security checks and fixed surveillance of campus facilities. Includes logs, reports, correspondence, recordings, and other related records.	a) If a case is opened, transfer reports and surveillance records needed to support investigation to appropriate Case Records file. b) If surveillance records are not required to support investigations or litigation, destroy in office after 30 days. c) Destroy in office remaining records when reference value ends.* ± University Policy: Destroy after _____	
11.6 	CASE RECORDS Records documenting misdemeanor and felony investigations of campus incidents. Includes statements, incident reports, photographs, evidence sheets, correspondence, and other related records.	a) Destroy in office closed misdemeanor case records after 7 years. b) Destroy in office closed felony case records after 20 years.	Authority: G.S. § 20-166.1 Confidentiality: G.S. § 132-1.4
11.7 	CENTRAL ALARM RECEIVING SYSTEM Records concerning security system operations for campus buildings on the Central Alarm Receiving System (CARS). Includes logs, reports, plans, system maintenance, upgrades/changes to system, and other related records.	a) Destroy in office logs and reports after 5 years.* b) Destroy in office records of maintenance, upgrades, and changes to system after system is replaced. c) Destroy in office remaining records when superseded or obsolete.*	Confidentiality: G.S. § 132-1.7

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
11.8	CONFISCATED PROPERTY RECORDS Records documenting the confiscation, control and return, or disposal of weapons and controlled substances confiscated during searches or arrests or received by campus police. Includes forms, reports, correspondence, and other related records.	Destroy in office 7 years after disposal of items.	
11.9 	EMERGENCY COMMUNICATIONS AND DISPATCH Records documenting emergency communications and dispatching. Includes radio and telephone dispatching, recordings of incoming and outgoing 911 emergency calls and texts, database records, correspondence, and other related records.	a) If a case is opened, transfer felony/misdemeanor communications and dispatches to appropriate Case Records file. b) Destroy in office 911 records after 30 days unless a court of competent jurisdiction orders a portion sealed. c) Destroy in office remaining records when reference value ends.± University Policy: Destroy after _____	Confidentiality: G.S. § 132-1.4(c)(4) G.S. § 132-1.5 Retention: G.S. § 132-1.4(i)
11.10	EVIDENCE TRACKING Records documenting evidence held by campus police. Includes inventories, reports, and other related records.	Destroy in office 3 years after final disposition of evidence. <i>Note: Does not include the actual evidence, which should be managed in accordance with applicable federal, state, or local law, court order, and/or campus policy.</i>	
11.11	EXPUNCTIONS Records concerning the expunction of a convicted individual’s records. Includes petitions, affidavits, and court orders.	Destroy in office as soon as the record is expunged.	Confidentiality: G.S. § 15A-151

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
11.12 	INCIDENT REPORTS Records documenting incidents to which campus police respond. Includes reports, supporting documentation, correspondence, and other related records.	a) If a case is opened, transfer report to appropriate Case Records file. b) Destroy in office remaining records after 7 years.*	Confidentiality: G.S. § 132-1.4
11.13 	LAW ENFORCEMENT AGENCY RECORDINGS Recordings by law enforcement officers that are not known to have captured a unique or unusual incident or action from which litigation or criminal prosecution is expected or likely to result. Includes body-worn cameras, dashboard cameras, and fixed cameras.	a) If a case is opened, transfer recording to appropriate Case Records file. b) Destroy in office remaining records after 30 days.*	Confidentiality: G.S. § 132-1.4A
11.14	LOST, STOLEN, OR DAMAGED PROPERTY REPORTS Records concerning property lost or stolen on campus as well as vandalism to University property. Includes logs of lost property that has been found on campus, visitor reports of lost or stolen property, and employee reports and narratives of vandalism.	Destroy in office after 3 years.	
11.15	PARKING TICKETS Records documenting parking tickets issued on campus property.	Destroy in office after 3 closed fiscal years.*	
11.16	TOWED VEHICLE REPORTS Records concerning vehicles towed off University property.	Destroy in office after 3 years.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
11.17 	TRAFFIC CITATIONS Records documenting accidents and traffic citations issued by campus police. Includes reports, correspondence, and other related records.	a) Transfer citations to county Clerk of Superior Court. b) Transfer documentation on any reportable crash to the NC Division of Motor Vehicles within 10 days. c) Destroy in office remaining records after 3 years.	Authority: G.S. § 20-4.01(33b) Confidentiality: G.S. § 20-43.1
11.18	TRAFFIC STOP REPORTS Records documenting traffic stops on University property by campus police. Includes reports and other related records.	Destroy in office after 3 years.	Authority: G.S. § 143B-903

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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STANDARD 12: STUDENT ACADEMIC AND CURRICULUM AND INSTRUCTION RECORDS

Official records created and accumulated regarding the creation and provision of courses along with student academic progress at the University. Comply with relevant provisions of the Family Education Rights and Privacy Act of 1974 (FERPA) regarding the confidentiality of student records.

While students are enrolled at the University, campus schools and departments likely accumulate copies of elements of the student academic record (e.g., applications, test results, registration materials, major/minor declarations, etc.). The office of record (usually the Office of the University Registrar) is responsible for abiding by the mandated disposition instructions; other copies are reference copies that may be discarded when their reference value ends.

See also: Coursework and participant records for continuing education, extension, summer programs, and other non-academic courses that do not grant course credits are under Conferences, Training Programs, Lectures, and Workshops (page 4, item 1.11).

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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.1 	ACADEMIC ACTION AUTHORIZATIONS Records documenting changes to student academic records. Includes forms, correspondence, and other related records.	Destroy in office 5 years after graduation or separation.	Confidentiality: 20 USC 1232g (FERPA)
12.2	ACADEMIC SERVICES REQUESTS Records documenting requests for information received and/or processed by the Registrar's office. Includes student transcript requests, enrollment certifications, and degree verifications.	Destroy in office 1 year after date received.	
12.3	APPLICATIONS FOR GRADUATION Completed student applications to graduate.	Destroy in office 1 year after graduation or separation.	Confidentiality: 20 USC 1232g (FERPA)
12.4 	CLASS LISTS Records documenting students enrolled in courses taught at/by the University.	Retain permanently in the Registrar's office.	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.5	CLASS SCHEDULES Records documenting the formulation of class schedules by academic units. Includes forms, requests, matrices, correspondence, and other related records.	a) Transfer schedules to University Archives after 1 year for appraisal and final disposition. b) Destroy remaining records in office after 1 year.	
12.6	COMMENCEMENT RECORDS Records documenting University commencement exercises. Includes programs, attendance forms, planning records, correspondence, and other related records. Also includes graduation lists.	Transfer to University Archives after 1 year for appraisal and final disposition.	
12.7	COURSE CATALOG Records describing courses offered by the University and listing program and degree requirements.	a) Transfer 1 copy (bound or electronic) to University Archives when published. b) Retain 1 copy permanently in the Registrar's office. c) Transfer 10 or more paper copies or 1 electronic copy of each publication to the State Documents Clearinghouse, State Library of North Carolina.	Authority: G.S. § 125-11.8(b)
12.8	COURSE EVALUATIONS BY STUDENTS Records documenting student course evaluations, including evaluations of instructors.	a) Destroy in office individual student evaluations when reference value ends.± University Policy: Destroy after _____ b) Destroy in office aggregated evaluations for an instructor/course after 5 years.	

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.9	COURSE PROPOSAL AND DEVELOPMENT RECORDS Records documenting the development of courses, certificate programs, and curricula for the University. Includes course descriptions, course materials, justifications, committee minutes, reports, correspondence, and other related records. Also includes records regarding distance education programs that award credits.	Transfer to University Archives after 5 years for appraisal and final disposition. <i>Note: The Division of Academic Affairs (UNC System Office) retains official requests for new degree programs.</i>	
12.10	COURSE SYLLABI AND OUTLINES Records documenting the pacing and assignments for each course taught at the University.	Destroy in office after 4 years.	
12.11 	CREDIT/PLACEMENT BY EXAMINATION RECORDS Records documenting academic credits awarded to students or course placement authorized by special examination. Includes results of tests and examinations, including Advanced Placement exams.	a) For enrolled students, retain permanently in the Registrar’s office. b) For non-enrolled students, destroy in office after 1 year.	Confidentiality: 20 USC 1232g (FERPA)
12.12 	DEGREE AUDIT AUTHORIZATIONS Records documenting student progress to date. Includes courses taken, number of credits needed to graduate, clearance notes, and advisor error documentation.	Destroy in office 5 years after graduation or separation.	Confidentiality: 20 USC 1232g (FERPA)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.13 	DISCIPLINARY RECORDS (ACADEMIC) Records concerning disciplinary actions brought against students for academic infractions. Includes charges, evidence, transcripts, recordings, summaries, appeals, correspondence, and other related records. <i>See also: Disciplinary Records (Non-Academic) (page 88, item 17.2)</i>	a) Destroy in office documents from expulsion cases 75 years after final action. b) Destroy in office 8 years after settlement/hearing documents from non-expulsion cases.	Confidentiality: 20 USC 1232g (FERPA)
12.14 	EXCUSED ABSENCE RECORDS Records documenting student absences excused for health and other unavoidable reasons. Includes excuses, doctor's notes, correspondence, and other related records.	Destroy in office at end of each semester.	Confidentiality: 20 USC 1232g (FERPA) 42 USC 1320d-2(d)(2) (HIPAA)
12.15 	FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) COMPLIANCE RECORDS Records documenting measures taken by the University to comply with FERPA regulations. Includes requests for formal hearings, written decisions of hearing panel, requests for release of information, waivers for right of access, definition of directory information, correspondence, and other related records.	Retain in office permanently.	Confidentiality: 20 USC 1232g (FERPA)
12.16 	GRADE REPORTS Records documenting grades assigned by instructors to students enrolled in courses.	Destroy in office 3 years after recorded on student's permanent transcript record.*	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule (amended 2019)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.17 	HIGH SCHOOL STUDENT ACADEMIC RECORDS Records concerning individual students. Includes academic support plans, report cards, forms, dismissals, correspondence, evaluations, demographic data updates, grades and credits from prior schools, test score reports, and other related records. <i>See also: Transcripts (page 74, item 12.25)</i>	Destroy in office after 6 years.	Confidentiality: 20 USC 1232g (FERPA)
12.18	NAME CHANGE AUTHORIZATIONS Records documenting name changes applied to a student's academic record. Includes forms, correspondence, and other related records.	Destroy in office 5 years after graduation or separation.	
12.19 	PROGRAM PROGRESSION APPEAL RECORDS Records documenting appeals to program progression requirements. Includes forms, decisions, correspondence, and other related records.	a) Transfer decision to Registrar's office for permanent retention. b) Destroy in office remaining records 5 years after resolution of appeal.	Confidentiality: 20 USC 1232g (FERPA)
12.20 	STUDENT ACADEMIC ADVISING RECORDS Records documenting advisement sessions with students. Includes advisors' notes and reports, copies of transcripts, official graduation audits, records supporting student applications for professional certificates or licenses, correspondence, and other related records.	Destroy in office 5 years after graduation or separation.	Confidentiality: 20 USC 1232g (FERPA)
12.21 	STUDENT COURSE WORK Records documenting examinations, tests, term papers, and other course work completed by but not returned to the student.	a) Destroy in office 1 year after completion of course for uncontested grade results. b) For grades that are challenged, destroy in office after resolution of challenge.	Confidentiality: 20 USC 1232g (FERPA)




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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.22	STUDENT REGISTRATION RECORDS Records documenting student registration for University courses. Includes drop/add forms, pass/fail forms, requests to register for an overload/extra hours, authorizations to repeat courses, and other related records.	Destroy in office after 1 year.	
12.23 	STUDY ABROAD RECORDS Records concerning students enrolled in study abroad programs sponsored or approved by the University. Includes applications, recommendations, transcripts, contracts, correspondence, and other related records.	a) Retain in office permanently transcripts and credit reports. b) Destroy in office remaining records 10 years after student application.	Confidentiality: 20 USC 1232g (FERPA)
12.24	THESES AND DISSERTATIONS Record copies of theses and dissertations completed by University students.	Retain permanently in the University Library.	
12.25 	TRANSCRIPTS Records documenting attendance, academic records, and degrees awarded of students. May also include certifications or licenses earned by students.	Retain permanently in the Registrar's office.	Confidentiality: 20 USC 1232g (FERPA) Retention: G.S. § 115C-402
12.26 	TRANSFER EQUIVALENTS RECORDS Records documenting grade transfer equivalents from other institutions. Includes transcripts, lists of credit hours earned, correspondence, and other related records.	Retain permanently in the Registrar's office.	Confidentiality: 20 USC 1232g (FERPA)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
12.27 	<p>UNDERGRADUATE AND GRADUATE STUDENT ACADEMIC RECORDS</p> <p>Records documenting the academic record of students earning degrees. Includes major/minor declarations, external practica/internships/field placements/experiential learning programs, inter-institutional approval forms, comprehensive examination results, personal data, and other related records.</p> <p><i>See also: Transcripts (page 74, item 12.25)</i></p>	<p>a) Destroy in office records of graduated students 5 years after degree awarded.</p> <p>b) Destroy in office remaining records 10 years after last date of registration/activity at the University.</p>	Confidentiality: 20 USC 1232g (FERPA)
12.28 	<p>WITHDRAWAL RECORDS</p> <p>Records documenting the withdrawal of a student from the University.</p>	Destroy in office after 5 years.	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

This schedule applies to all records regardless of format (unless otherwise specified).



STANDARD 13: STUDENT ADMISSIONS RECORDS

Official records created and accumulated regarding applications for admission to the University as well as to programs within the University. Comply with relevant provisions of the Family Education Rights and Privacy Act of 1974 (FERPA) regarding the confidentiality of student records.

Series #	Records Series Title and Description	Disposition Instructions	Citation
13.1 	ADMISSIONS RECORDS Records documenting student applications for admission to the University. Includes undergraduate and graduate applications, recommendations and student waivers for right of access, transcripts, committee and review records, appeals, correspondence, and other related records.	a) For enrolled students, transfer application and transcripts to Registrar's Office when student matriculates. Destroy remaining records in office 3 years after admission. b) For non-enrolled students and denied applications, destroy in office 1 year after application period.*	Confidentiality: G.S. § 132-1.1(f) 20 USC 1232g (FERPA)
13.2 	ENTRANCE EXAMINATION REPORTS/TEST SCORES Records concerning results of test administered for admission to undergraduate or graduate programs (e.g., ACT, CEEB, GRE, SAT, LSAT, MCAT). Includes score reports.	a) For enrolled students, destroy in office 5 years after graduation or separation. b) For non-enrolled students and those denied admittance, destroy in office 1 year after application period.	Confidentiality: G.S. § 132-1.1(f) 20 USC 1232g (FERPA)
13.3 	INTERNATIONAL STUDENT RECORDS Records documenting the necessary administrative filings required to verify the status and eligibility of international students. 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.	a) For enrolled students, destroy in office 3 years after graduation or separation from the University. b) For non-enrolled students and those denied admittance, destroy in office 1 year after application period. <i>Note: Records are to be maintained separately from admissions process.</i>	Authority: 8 C.F.R. 214.3(g) 8 C.F.R. 214.3(k) Confidentiality: 20 USC 1232g (FERPA) Retention: 8 C.F.R. 214.3(g)

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
13.4 	PRE-COLLEGE PROGRAM RECORDS Records documenting the participation and performance of youth participants enrolled in pre-college enrichment programs (e.g., Upward Bound Project) at the University. Includes recommendations, transcripts, applications, academic advising worksheets, honors and awards received, releases for participation, correspondence, annual performance reports, rosters, and other related records. Also includes applications and monitoring records for undergraduate pre-college mentors.	a) For high school students who complete the program, destroy in office 7 years after completion of the program. b) For high school students who do not complete the program, destroy in office 5 years after separation from the program. c) Destroy in office applications for students who are not admitted to the program or who do not enroll 1 year after the application period. d) Destroy in office records of all other youth participants after 3 years. e) Destroy in office mentor records after 5 years. f) Destroy annual performance reports and rosters when reference value ends. ± University Policy: Destroy after _____	Confidentiality: 20 USC 1232g (FERPA)
13.5 	RESIDENCY CLASSIFICATION FORMS Records concerning the establishment of in-state residency. Includes classification forms, change of residency status forms, correspondence, and other related records. Also includes Academic Common Market and other similar programs.	a) For enrolled students, destroy in office 5 years after graduation or separation.* b) For non-enrolled students and those denied admittance, destroy in office 1 year after application.*	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
13.6 	UNDERGRADUATE HONORS COLLEGE AND PROFESSIONAL SCHOOL ADMISSIONS RECORDS Records concerning applications submitted to UNC honors colleges or professional schools by undergraduate students already admitted to and enrolled in the University. Includes applications, recommendations, essays, resumes, transcripts, and other related records.	a) For enrolled students, destroy in office 3 years after graduation or separation from the program or professional school. b) For non-enrolled students and those denied admittance, destroy in office 1 year after application.*	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule

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STANDARD 14: STUDENT ATHLETICS RECORDS

Official records created and accumulated regarding intercollegiate athletic teams and events. Comply with relevant provisions of the Family Education Rights and Privacy Act of 1974 (FERPA) regarding the confidentiality of student records and of the G.S. § 8-53 regarding the confidentiality of medical information.

See also: Records concerning donors are under Development and Alumni Records. Season tickets are included in Ticket Sales Records.

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Series #	Records Series Title and Description	Disposition Instructions	Citation
14.1	ATHLETIC PROGRAM ADMINISTRATION Records concerning the administration of intercollegiate athletic programs. Includes reports, correspondence, and other related records.	Transfer to University Archives after 5 years for appraisal and final disposition.	
14.2	COACHES' RECORDS Records accumulated by coaches of intercollegiate athletic teams. Includes playbooks, scouting reports, and other related records.	a) Transfer playbooks and scouting reports to University Archives when reference value ends for appraisal and final disposition. b) Destroy in office remaining records when reference value ends. ± University Policy: Destroy after _____	
14.3 	DRUG DISTRIBUTION RECORDS Records regarding controlled substances dispensed to student-athletes. Includes medication profile and other related records.	Destroy in office after 3 years.*	Confidentiality: 20 USC 1232g (FERPA) G.S. § 8-53 Retention: 21 NCAC 46 .1414 (j)(6)




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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
14.4 	DRUG TESTING Records regarding substance abuse tests for athletes. Includes lab reports, correspondence, and other related records.	a) Destroy in office negative results after 1 year. b) Destroy in office positive results after 6 years or after end of eligibility to compete, whichever is later.	Confidentiality: 20 USC 1232g (FERPA) G.S. § 8-53
14.5 	ELIGIBILITY DECLARATIONS Records concerning compliance with NCAA eligibility rules and regulations for student-athletes. Includes eligibility declarations, student academic data, and other related records.	a) Retain eligibility declarations permanently in the Registrar’s office. b) Destroy in office remaining records 7 years after student’s enrollment.	Confidentiality: 20 USC 1232g (FERPA)
14.6	EVENT AND PROMOTIONAL RECORDINGS Recordings produced by and for the University. Includes sporting events, interviews, and other related records.	Transfer to University Archives after 10 years for appraisal and final disposition.	Comply with applicable restrictions of copyright (17 U.S. Code) and NCAA rules and regulations on distribution and use.
14.7	GAME CONTRACTS Recordings concerning athletic contests. Includes agreements, contracts, correspondence, and other related records. <i>See also: Agreements, Contracts, and Leases (page 42, item 8.1)</i>	Destroy in office after 4 years.*	
14.8 	INJURY TREATMENT RECORDS Records documenting treatments of injuries for student-athletes. Includes injury reports, treatments and medications logs, NCAA Injury Surveillance System Individual Injury forms, NCAA Weekly Exposure forms, and other related records.	Destroy in office after 6 years or after end of eligibility to compete, whichever is later.*	Confidentiality: 20 USC 1232g (FERPA) G.S. § 8-53

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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
14.9	PLAYER RECRUITMENT RECORDS Records concerning recruitment of student-athletes. Includes lists of prospects, recruitment proposals, newsletters, promotional literature, recordings, correspondence, and other related records.	Destroy in office when reference value ends. ± University Policy: Destroy after _____	
14.10	SPORTS INFORMATION Records concerning the promotion of University athletes and events. Includes schedules, promotional literature, programs, media guides, press releases, calendars of events, photographs, statistics, correspondence, and other related records.	a) Transfer items published in print or electronically to University Archives upon publication or distribution. b) Destroy remaining records in office when reference value ends. ± University Policy: Destroy after _____	
14.11	TEAM TRAVEL RECORDS Records documenting travel for competition by athletic teams. Includes itineraries, logistical information, and other related records.	Destroy in office when superseded or obsolete.	

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2018 UNC General Records Retention and Disposition Schedule

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STANDARD 15: STUDENT FINANCIAL AID RECORDS

Official records create and accumulated regarding the provision of financial aid to University students. Comply with relevant provisions of the Family Education Rights and Privacy Act of 1974 (FERPA) regarding the confidentiality of student records.

Series #	Records Series Title and Description	Disposition Instructions	Citation
15.1 	AWARDED SCHOLARSHIPS AND GRANTS Records documenting the awarding of student scholarships and grants (by the University or by outside entities). Includes applications, recommendations, award letters, approvals, disbursements, correspondence, and other related records. Also includes athletic scholarships.	a) Destroy in office records supporting one-time scholarships 3 years after close of award year.* b) Destroy in office records supporting renewable scholarships 5 years after close of award year.* c) Destroy in office records supporting forgivable loans to qualified service professionals 3 years after the satisfaction of the obligation.*	Confidentiality: 20 USC 1232g (FERPA) Retention: 34 CFR 668.24(e)(1)
15.2 	EVALUATIONS Records relating to decisions regarding loan and scholarship applications. Includes evaluations, correspondence, and other related records.	Destroy in office 1 year after notification of applicant.	Confidentiality: 20 USC 1232g (FERPA)
15.3	FINANCIAL AID INFORMATIONAL RECORDS Records describing scholarships and loans. Includes brochures, flyers, requirements, guidelines.	Transfer to University Archives when superseded or obsolete for appraisal and final disposition.	
15.4 	FINANCIAL AID RECIPIENT RECORDS Records concerning individuals receiving Federal and State student financial aid. Includes eligibility criteria, applications, academic records, financial histories and tax returns, award notifications, participation agreements, disbursement reports, correspondence, and other related records.	Destroy in office 3 years after close of award year.	Confidentiality: 20 USC 1232g (FERPA) G.S. § 105-259(b) G.S. § 132-1.10 Retention: 34 CFR 668.24(e)(1)





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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
15.5 	FINANCIAL AID REPORTS Records documenting disbursement of financial aid. Includes annual year-end summary reports submitted to Chancellor.	Transfer to University Archives after 3 years for appraisal and final disposition.	Confidentiality: 20 USC 1232g (FERPA)
15.6 	LOAN ADMINISTRATION RECORDS Records documenting the administration of loans. Includes promissory notes, enrollment verifications, correspondence, accounting statements, cancellation requests, disbursement rosters, and repayment records.	Destroy in office 3 years after loan is cancelled, repaid, or otherwise satisfied.*	Confidentiality: 20 USC 1232g (FERPA) Retention: 34 CFR 674.19(e)(3)
15.7 	REJECTED LOAN AND SCHOLARSHIP RECORDS Records concerning applications that are denied by the University or awards that are declined by the recipient. Includes applications, correspondence, and other related records.	Destroy in office 1 year after notification of applicant.	Confidentiality: G.S. § 132-1.10
15.8 	SCHOLARSHIP AND GRANT ADMINISTRATION RECORDS Records concerning the administration of student grants and scholarships. Includes guidelines, conditions of scholarships, reports, funding sources, trust fund withdrawals, descriptions of grants and scholarships, names of students, accounting information, correspondence, and other related records.	Destroy in office after 3 years.	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule

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Series #	Records Series Title and Description	Disposition Instructions	Citation
15.9 	VETERANS' BENEFITS Records concerning the award of veterans' benefits. Includes applications, award notifications, accounting statements, enrollment verifications, correspondence, and other related records.	Destroy in office 3 years after graduation or separation.	Confidentiality: 20 USC 1232g (FERPA)
15.10 	WORK STUDY PROGRAM ADMINISTRATIVE RECORDS Records documenting the administration of the Federal work study program at the University. Includes job descriptions, award letters, pay rate change notices, correspondence, and other related records.	Destroy in office after 3 years.	Confidentiality: 20 USC 1232g (FERPA)

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

This schedule applies to all records regardless of format (unless otherwise specified).



STANDARD 16: STUDENT HEALTH AND COUNSELING SERVICES RECORDS

Official records created and accumulated regarding the provision of health services and counseling services to University students. Comply with relevant provisions of the Health Insurance Portability and Accountability Act (HIPAA) regarding the confidentiality of health records. For records of services not provided to students, see Standard 18: Medical Center and School of Medicine Records.

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Series #	Records Series Title and Description	Disposition Instructions	Citation
16.1	CONTROLLED SUBSTANCES ADMINISTRATIVE RECORDS Records documenting the receipt and control of controlled substances by Health Center personnel. Includes inventories, logs, and other related records.	Destroy in office after 3 years.*	Retention: 21 NCAC 46 .1414 (j)(6)
16.2 	IMMUNIZATION INCOMPLETE LOG Records documenting incomplete immunizations.	Destroy in office when superseded or obsolete.	Confidentiality: 42 USC 1320d-6
16.3 	INSURANCE CLAIMS RECORDS Records concerning third party claims, explanations of benefits, and checks received.	Destroy in office after 7 years.*	Confidentiality: 5 USC 552a 42 USC 1320d-6
16.4 	PATIENT APPOINTMENT RECORDS Records documenting scheduled appointments. Includes appointment books and databases, correspondence, and other related records.	Destroy in office after 1 year.	Confidentiality: 5 USC 552a 42 USC 1320d-6
16.5 	PRESCRIPTION ORDERS Prescription orders for controlled and non-controlled substances or other medication or devices. Includes patient's name, location, medical records number, medication name, strength, dosage form, date order was written, and signature of prescriber.	a) Transfer original order to Student Medical Record. b) Destroy in office remaining records after 3 years.	Confidentiality: 42 USC 1320d-6



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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
16.6 	RADIOLOGY JACKETS Records concerning x-rays conducted by Student Health Services.	Destroy in office after 7 years. <i>Note: Analog x-rays should be recycled for silver reclamation.</i>	Confidentiality: 42 USC 1320d-6
16.7	STUDENT COUNSELING RECORDS Records concerning counseling services provided at the University, including substance abuse counseling as well as psychological counseling. Includes testing, case notes and summaries, diagnoses, treatment plans, evaluations, referrals, consent forms, release of information agreements, correspondence, and other related records. <i>See also: Career Planning/Placement Records (page 88, item 17.1)</i>	Destroy in office 7 years after date of last encounter.*	Confidentiality: 42 USC 1320d-6 G.S. § 8-53
16.8 	STUDENT IMMUNIZATION RECORDS Records concerning immunizations administered or received by Student Health Services.	a) Destroy in office 1 year after entry in the North Carolina Immunization Registry (NCIR). b) Destroy in office remaining records of immunizations administered by Student Health Services 11 years after date of last encounter. c) Destroy in office records of immunizations reported to Student Health Services after 5 years.	Confidentiality: 42 USC 1320d-6

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
16.9 	STUDENT MEDICAL RECORDS Records concerning medical care provided at Student Health Services. Includes medical histories, charts, accident reports, lab reports, prescription orders, correspondence, and other related records.	Destroy in office remaining records 11 years after date of last encounter.*	Confidentiality: 42 USC 1320d-6
16.10 	SUBSTANCE ABUSE PROGRAM ADMINISTRATION RECORDS Records concerning the administration of campus substance abuse programs. Includes reports, attendance, rosters, compliance audits, correspondence, and other related records.	a) Transfer statistical reports to University Archives when after 4 years for appraisal and final disposition. b) Destroy in office remaining records after 4 years.	Confidentiality: 42 USC 1320d-6

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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STANDARD 17: STUDENT LIFE AND STUDENT AFFAIRS RECORDS

Official records created and accumulated regarding the essential education, programs, and services provided to support students’ academic, personal, and professional development.

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Series #	Records Series Title and Description	Disposition Instructions	Citation
17.1	CAREER PLANNING/PLACEMENT RECORDS Records documenting student advising for planning careers and finding internships and jobs. Includes resumes, job interview forms, student profile data sheets, and other related records.	Destroy in office when reference value ends. ± University Policy: Destroy after _____	
17.2 	DISCIPLINARY RECORDS (NON-ACADEMIC) Records documenting actions brought against students for violations of University rules and regulations. Includes charges, evidence summaries, transcripts, recordings, reports, correspondence, and other related records. <i>See also: Disciplinary Records (Academic) (page 72, item 12.14)</i>	a) Destroy in office documents from expulsion cases 75 years after date of final action. b) Destroy in office 8 years after settlement documents from non-expulsion cases.	Confidentiality: 20 USC 1232g
17.3 	HONOR CODE VIOLATIONS Records documenting alleged violations of the University honor code. Includes investigation files, case files, transcripts, correspondence, and other related records.	a) Destroy in office after verdict records involving cases tried and resulting in acquittal. b) Transfer after verdict pertinent information involving cases tried and resulting in conviction to Registrar’s Office and Deans’ Office. Destroy in office remaining case records after 10 years.* c) Destroy in office after 7 years records not related to a trial.	Confidentiality: 20 USC 1232g

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2018 UNC General Records Retention and Disposition Schedule (amended 2020)

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Series #	Records Series Title and Description	Disposition Instructions	Citation
17.4	INTRAMURAL SPORTS RECORDS Records documenting the planning, implementation, and operation of intramural sports programs for students, faculty, and staff. Includes applications, rosters, enrollment records, activity records, medical waivers, handbooks, reports, promotional/publicity materials, photographs, scrapbooks, correspondence, and other related records.	a) Transfer handbooks, reports, promotional/publicity materials, photographs, and scrapbooks to University Archives after 3 years for appraisal and final disposition. b) Destroy in office remaining records after 3 years.	
17.5 	SERVICES TO STUDENTS WITH DISABILITIES Records documenting services provided to students with disabilities. Includes health professional evaluation reports, autobiographical essays, copies of admission applications, transcripts, physicians' statements, counseling interview notes, correspondence, and other related records.	Destroy in office 5 years after graduation or last semester in which student received disability services.	Confidentiality: 20 USC 1232g
17.6	STUDENT ASSOCIATIONS AND ORGANIZATIONS RECORDS Records documenting student associations and organizations officially recognized by the University. Includes constitutions, bylaws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, publications, and other related records.	Transfer to University Archives after 1 year for appraisal and final disposition.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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STANDARD 18: MEDICAL CENTER AND SCHOOL OF MEDICINE RECORDS

Official records created and accumulated regarding the delivery of healthcare in University medical facilities and the operation of a School of Medicine. (See [Student Health and Counseling Services Records](#) for outpatient services provided to University students.)

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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.1	CERTIFICATE OF NEED APPLICATIONS Records documenting applications to the Department of Health and Human Services Certificate of Need Section. Includes forms, correspondence, data source documents, and other related records.	a) Destroy in office approved application materials 3 years after the proposed project or facility is operational. b) Destroy in office rejected application materials after 10 years.	
18.2	CERTIFICATE OF NEED PUBLIC HEARINGS Records related to public hearings regarding applications. Includes presentations, comments, correspondence, data source documents, and other related records.	Destroy in office 3 years after the public hearing (or after comments are filed with the Certificate of Need Section, if no public hearing is scheduled).	
18.3	CERTIFICATE OF NEED REQUESTS Records documenting no review requests, exemption notices, declaratory ruling requests, or other requests. Includes forms, data source documents, correspondence, and other related records.	Destroy in office 3 years after filing.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.4	<p>EMERGENCY RESPONSE RECORDS Records documenting the preparation, coordination, and/or deployment of personnel and equipment for pre-hospital care and treatment in medical emergencies. Also includes dispatch records.</p> <p><i>See also: Patient Medical Records (page 96, item 18.24)</i></p>	Destroy in office after 3 years.	
18.5	<p>FACILITY ADVOCATE RECORDS Records of advocates placed in facility. Includes reports and investigations regarding rights protection of individuals.</p>	Destroy in office after 5 years.	
18.6	<p>HIPAA POLICIES Records documenting facility policies and procedures to align with the requirements of the Health Insurance Portability and Accountability Act (HIPAA). Includes meaningful use attestation records.</p>	Destroy in office 6 years after superseded or obsolete.	Retention: 45 CFR 164.316(b)(2) 45 CFR 164.530(j)
18.7	<p>INFECTION CONTROL RECORDS Records documenting the facility's infection control program. Includes investigative reports, surveillance records and logs, infection control reports, and other related records.</p>	Destroy in office after 5 years.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.8	<p>MEDICAL RESIDENTS, FELLOWS, AND INTERNS RECORDS Records documenting participants in a residency, fellowship, or internship program. Includes applications, references, appointments, evaluations, certificates of completion, and other related records.</p>	Destroy in office 60 years after completion of/withdrawal from program.	
18.9	<p>OPERATING ROOM VIDEOS Records generated for educational purposes during surgical procedures. Includes videos and associated images.</p>	Destroy in office after 2 years.	
18.10	<p>PEER REVIEW RECORDS Records documenting the facility’s peer review of credentialing privileges. Includes practitioner performance profiles, Ongoing Professional Practice Evaluation (OPPE), Focused Professional Practice Evaluation (FPPE), and other related records.</p> <p><i>See also: Governing and Advisory Board Records (page 7, item 1.2118.24), Certifications and Qualifications (page 51, item 10.10)</i></p>	<p>a) Destroy in office after 10 years Peer Review Committee minutes. b) Destroy in office remaining records 10 years after superseded or obsolete.</p>	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.11 	PERFORMANCE IMPROVEMENT AND QUALITY ASSURANCE RECORDS Records documenting incident analyses and reports. Includes medication error reports, occurrence reports, performance improvements plans, data collection logs, compliance investigations, and other related records.	a) Destroy in office collected data after 3 years. b) Destroy in office remaining records after 10 years.	Confidentiality: G.S. § 122C-191(e)
18.12	PRECEPTOR RECORDS Records documenting the preceptor program. Includes contracts, financial records, and other related records.	Destroy in office after 3 years.*	
18.13	PROVIDER ENROLLMENT FORMS Records documenting certifications and revalidations for individuals and/or facilities with the Centers for Medicare and Medicaid Services.	Destroy in office when superseded or obsolete.	
18.14	REGISTERS AND LOGBOOKS Records documenting patient registration, medical record number, and date(s) of admission. Includes master patient index, birth registers, and death registers.	Retain in office permanently.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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ADMINISTRATION OF HEALTHCARE FACILITIES			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.15	<p>SCHEDULING RECORDS Records documenting schedules for medical personnel including physicians, residents, fellows, interns, medical aides, nursing, staff, and other support personnel who provide medical treatment. Also includes lists of patients seen or scheduled to be seen by medical personnel and labs.</p>	<p>a) Destroy in office patient lists when superseded or obsolete. b) Destroy in office remaining records after 5 years.</p>	
18.16	<p>STERILIZATION RECORDS Records concerning mechanical, chemical, and biological sterilization and disinfection. Includes monitor notebooks and sterilizer logs and tests.</p>	Destroy in office after 3 years.	

BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.17	<p>ADJUSTED PATIENT ACCOUNTS Records documenting adjustments to patients' bills and insurance claims.</p>	Destroy in office after 10 years.	
18.18	<p>INSURANCE CLAIMS REPORTS Records related to claim forms and correspondence submitted to insurance companies. Also includes reports summarizing unpaid insurance claims and appeals of payor's denial of claim and other related records.</p>	Destroy in office after 10 years.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.19	<p>MEDICAID AND MEDICARE RECORDS Records documenting payments to healthcare providers and indicating the accounts to which they are posted. Includes disbursement reports and bad debt Medicare logs. Also includes Medicare cost reports.</p>	Destroy in office after 10 years.	Retention: 42 CFR 422.504(d)
18.20	<p>PATIENT FINANCIAL RECORDS Records documenting paid balances and refunds for patients receiving insurance benefits. Also includes payment vouchers.</p>	<p>a) Destroy in office records related to Medicaid and Medicare benefits after 10 years. b) Destroy in office remaining records after 3 years.</p>	Retention: 42 CFR 422.504(d)

CLINICAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.21	<p>CLINICAL OBSERVATION RECORDS Records documenting observational privileges in a clinical setting. Includes background checks, health surveys and immunizations, agreements, and other related records.</p>	Destroy in office 10 years after end of observation.	
18.22	<p>DENTAL RECORDS Records documenting inpatient and outpatient dental treatments. Includes tests and diagnoses, treatment plans, prescriptions, and other related records.</p>	Destroy in office 10 years after the last encounter with the patient.	Retention: 21 NCAC 16T .0101

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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CLINICAL RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.23	ENCOUNTER FORMS Forms, including triage logs, used to summarize contacts between department staff and clients.	Destroy in office after 3 years.*	
18.24	PATIENT MEDICAL RECORDS Records related to inpatient and outpatient clinical visits. Includes admission records, physical examination and laboratory reports, medical treatment notes, discharge plans and summaries, patient transfer certifications, radiology and diagnostic imaging records, medication administration records, living wills, authorizations to release patient information, communicable disease reports, consent to test forms, and other related records.	<ul style="list-style-type: none"> a) Destroy in office records of adult patients 11 years after the last encounter with the patient. b) Destroy in office records of minor patients when the patient reaches age 30 (and has not received any service in the previous 11 years). 	Retention: 10A NCAC 13B .3903(a)
18.25	SCREENING AND REFERRAL RECORDS Records documenting screenings, consultations, and referrals.	<ul style="list-style-type: none"> a) If individual receives clinical services transfer records to Patient Medical Records (page 96, item 18.24) as applicable. b) Destroy in office when superseded or obsolete referrals to the facility by outside providers. c) Destroy in office remaining records after 5 years. 	
18.26	TRANSCRIPTION LOGS Records detailing transcription activities for physicians' notes.	Destroy in office after 6 months.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.27	ACCESSION RECORDS Records documenting chain of custody of laboratory samples.	Destroy in office after 2 years.	
18.28	ANALYTIC SYSTEMS RECORDS Records documenting analytic systems activities. Includes worksheets, specimen logs, and instrument printouts.	Destroy in office after 2 years.	Retention: 42 CFR 493.1105(a)(3)
18.29	AUTOPSY RECORDS Records documenting post-mortem examinations conducted to determine the cause, mechanism, and manner of a person’s death. Includes test logs and results, images, final reports, and other related records.	a) Retain in office permanently forensic autopsy records. b) Destroy in office after 10 years clinical autopsy records.	

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.30 	<p>BLOOD BANK RECORDS</p> <p>Records used to monitor the process by which blood products are made available and used. Includes donor information and informed consent forms; records concerning the storage, distribution, and visual inspection of blood products; compatibility testing; component preparation; therapeutic bleedings; and immunizations. Also includes blood collection and processing results, interpretations of tests, labeling, emergency release of blood, and equipment calibration and performance checks. Also includes transfusion reaction reports and complaints, investigations, errors and accident records, difficulties in blood typing reports, exposures to transmissible diseases, supplies and reagents, and final disposition reports of blood products .</p>	<p>a) Retain in office permanently records concerning blood products with no expiration date.</p> <p>b) Destroy in office after the death of the donor records used to identify unsuitable donors so that their blood products will not be distributed.</p> <p>c) Destroy in office remaining records no less than 10 years after the records of processing have been completed or 6 months after the latest expiration date for the individual product, whichever occurs later.</p>	<p>Authority: 21 CFR 606.160 21 CFR 606.165 21 CFR 606.170</p> <p>Confidentiality: G.S. § 131E-97</p> <p>Retention: 21 CFR 606.160(d)</p>
18.31 	<p>BODY DONATION RECORDS</p> <p>Records documenting the administration of the body donation program. Includes registration forms, records of accepted donations, copies of death certificates, and other related records.</p> <p><i>See also: Policies and Procedures (page 8, item 1.25)</i></p>	<p>a) Destroy in office 5 years after final disposition of body records of registered and received donations.</p> <p>b) Destroy in office after 75 years records of registered but never received donations.</p>	<p>Confidentiality: 5 USC 552a</p>

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2018 UNC General Records Retention and Disposition Schedule (2020 addition)

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IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.32	<p>CYTOLOGY RECORDS Records documenting the exam of a single cell type. Includes slides. <i>See also: Patient Medical Records for individual test reports (page 96, item 18.24)</i></p>	<p>a) Destroy in office after 10 years fine needle aspiration slides. b) Destroy in office after 5 years stained slides (including both negative/unsatisfactory and positive/suspicious samples).</p>	
18.33	<p>DIAGNOSTIC IMAGING AND TESTING RECORDS Includes graphs, images, tracings, video, and other formats produced by diagnostic equipment. <i>See also: Patient Medical Records for individual test reports (page 96, item 18.24)</i></p>	<p>a) Destroy in office mammogram images 5 years after date of mammogram or 10 years after patient’s last mammogram performed at the facility, whichever is longer. b) Destroy in office records of adult patients 5 years after date of test or assessment. c) Destroy in office records of minor patients 5 years after the patient reaches age 18.</p>	Retention: 42 CFR 263b(f)(1)(G)
18.34	<p>LABORATORY EQUIPMENT MAINTENANCE RECORDS <i>See also: Maintenance, Repair, and Inspection for non-laboratory equipment (page 24, item 4.13)</i></p>	<p>a) Destroy in office after 2 years records relating to routine maintenance. b) Destroy in office after the final disposition of the instrument or equipment records relating to major repairs or parts replacement.</p>	
18.35	<p>LABORATORY REGISTER Includes logs, screening forms, test requisitions, and test authorizations.</p>	<p>a) Retain in office permanently log of laboratory tests performed for clinical care. b) Destroy in office after 5 years newborn screening collection forms. c) Destroy in office remaining records after 2 years.</p>	Retention: 42 CFR 493.1105(a)(1)

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IMAGING, LABORATORY, AND PATHOLOGY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.36	<p>PATHOLOGY RECORDS Includes paraffin blocks, slides, wet tissue, and other samples used for testing.</p> <p><i>See also: Patient Medical Records for individual test reports (page 96, item 18.24)</i></p>	<p>a) Destroy in office wet tissue samples 2 weeks after final report.</p> <p>b) Destroy in office remaining records after 10 years.</p>	
18.37	<p>PROFICIENCY TESTING RECORDS Records used to attest the handling, preparation, processing, examination, and reporting of results of all proficiency testing. Includes testing report forms, records documenting testing failures and corrective actions, and other related records.</p>	Destroy in office after 2 years.	Retention: 42 CFR 493.1105(a)(4)
18.38	<p>QUALITY CONTROL PROCEDURES Includes routine surveys and maintenance records, instrument calibrations, instrument/reagent correlations studies, quality control tests, silver recovery records, and other related records. Also includes method validation and performance verification studies.</p>	<p>a) Destroy in office method validation and performance verification studies 2 years after the test system is discontinued.</p> <p>b) Destroy in office remaining records after 2 years.</p>	Retention: 42 CFR 493.1105(a)(3) 42 CFR 493.1105(a)(5)
18.39	<p>TEST PROCEDURES Records documenting standard operating procedures and policies related to lab testing.</p>	Destroy in office 2 years after discontinued.	Retention: 42 CFR 493.1105(a)(2)

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PHARMACY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.40	ADVERSE DRUG REACTION REPORTS Reports to the Food and Drug Administration describing adverse drug reactions.	Destroy in office after 3 years.	
18.41	DRUG DISPOSAL RECORDS Records documenting the disposal or final disposition of all outdated, improperly labeled, adulterated, damaged, or unwanted controlled and non-controlled substances, or drug containers with worn, illegible, or missing labels.	Destroy in office after 3 years.	
18.42	DRUG DISTRIBUTION RECORDS Records listing who filled and/or checked a medication at time of issuing or dispensing, and other related information.	Destroy in office after 3 years.	Retention: 21 NCAC 46 .1414(j)(1)
18.43	DRUG INVENTORIES Inventories of controlled and non-controlled substances. Includes inventory reports, ancillary drug cabinet inventories, annual and biennial inventories, perpetual inventories, and other related records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy. Also includes auxiliary medication inventories as well as inventories of drugs destroyed, their amounts, and when destroyed.	Destroy in office after 3 years.*	Retention: 21 NCAC 46 .1414(j)(6)

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PHARMACY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.44	<p>MEDICATION STORAGE AND ENVIRONMENT INSPECTION REPORTS</p> <p>Records documenting routine inspection of medication storage areas. Also includes intravenous hood performance reports.</p>	Destroy in office after 3 years.	
18.45	<p> PATIENT MEDICATION PROFILES</p> <p>Records documenting all prescribed medications for each patient. Also includes records involving the interpretation and evaluation of a patient’s drug therapy or other pharmaceutical care services (e.g., on-site drug and medication reviews).</p>	<p>a) Destroy in office records of adult patients after 10 years.</p> <p>b) Destroy in office records of minor patients 10 years after the patient reaches age 18.</p>	<p>Authority: 21 NCAC 46 .1414(a)(3)</p> <p>Confidentiality: G.S. § 90-113.74</p>
18.46	<p> PRESCRIPTION ORDERS</p> <p>Records documenting prescription orders for controlled and non-controlled substances or other medication or devices that are not recorded in the patient’s medical record.</p> <p><i>See also: Patient Medical Records (page 96, item 18.24)</i></p>	Destroy in office after 3 years.	<p>Authority: G.S. § 90-85.30 G.S. § 90-85.35</p> <p>Confidentiality: G.S. § 90-85.36</p> <p>Retention: G.S. § 90-85.26 21 NCAC 46 .2302</p>

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PHARMACY RECORDS			
Series #	Records Series Title and Description	Disposition Instructions	Citation
18.47 	SCHEDULE II, III, IV, AND V NARCOTICS RECORDS Ordering, receiving, and usage records for controlled substances.	Destroy in office after 3 years.*	Authority: G.S. § 90-90 through 90-93 G.S. § 90-107 G.S. § 90-113.71 Confidentiality: G.S. § 90-85.36(c) G.S. § 90-113-74 Retention: 21 NCAC 46 .1414(j)(6) 42 CFR 423.505

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Appendix

Destructions

General Statute § 121-5 authorizes DNCR to regulate the destruction of public records, codified in the North Carolina Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510:

- (a) Paper records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways:
- burned, unless prohibited by local ordinance
 - shredded, or torn up so as to destroy the record content of the documents or material concerned
 - placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
 - sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.
- (b) Electronic records should be destroyed in this way:
- the data and metadata are to be overwritten, deleted, and unlinked so the data and metadata may not be practicably reconstructed.
- (c) Confidential records and records containing confidential information, whether paper or electronic, should be destroyed in this way:
- the data, metadata, and physical media are to be destroyed in such a manner that the information cannot be read or reconstructed under any means.

DNCR recommends that you report on an annual basis to your University Records Officer or Archivist about your records destruction activities. A sample destructions log is available on the state agency records management documents page at <https://archives.ncdcr.gov/documents/state-agency-rm>.

Public records, including electronic records, not listed on a functional schedule are not authorized to be destroyed.

Disaster Preparation and Recovery

We can provide training on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contract with recovery vendors. If you would like to have this workshop presented, contact the records analyst assigned to the UNC system.

In case of fire or flood, secure the area and keep everyone out until fire or other safety professionals allow entry. **DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.** Damaged records are extremely fragile and require careful handling. Call your university records officer and the State Archives of North Carolina. Our staff is trained in preliminary recovery techniques, and professional vendors can handle larger disasters. You may contact our Raleigh office at (919) 814-6900 or our Asheville office at (828) 296-7230.

Electronic Records

Universities should consider retention requirements and disposition authorities when designing and implementing electronic records management systems. Any type of electronically-created or electronically-stored information falls under the North Carolina General Assembly's definition of public records cited above. For example, e-mail, text messages, blog posts, voicemails, websites, word processing documents, spreadsheets, databases, and PDFs all fall within this definition of public records. In addition, G.S. § 132-6.1(a) specifies:

After June 30, 1996, no public agency shall purchase, lease, create, or otherwise acquire any electronic data-processing system for the storage, manipulation, or retrieval of public records unless it first determines that the system will not impair or impede the agency's ability to permit the public inspection and examination, and to provide electronic copies of such records.

Universities may scan any paper record and retain it electronically for ease of retrieval. If an office wishes to destroy the original paper records before their assigned retention periods have been met, the unit must establish an electronic records policy, including putting into place internal procedures for quality assurance and documentation of authorization for records destructions. Forms and templates to guide these processes can be found on the higher education records management documents page at <https://archives.ncdcr.gov/documents/higher-ed-rm>, and best practices for file naming, file formats, and maintaining trustworthy digital public records can be found at <https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>. This electronic records policy must be approved by the Government Records Section. Universities should be aware that for the purpose of any audit, litigation, or public records request, they are considered the records custodian obligated to produce requested records, even if said records are being maintained electronically by an outside vendor. Therefore, contracts regarding electronically stored information should be carefully negotiated to specify how records can be exported in case a vendor goes out of business or the university decides to award the contract to a different vendor.

Glossary

Historical Value

The term historical value is used interchangeably with archival value. The Society of American Archivists *Glossary of Archival and Records Terminology* defines it as "the importance or usefulness of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or evidential information they contain."⁵ 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

⁵ *A Glossary of Archival and Records Terminology*

Carolina hold more historical value than most property case files because of the political history intertwined with this case.

Records with enduring historical value should be transferred in accordance with the disposition requirement of this University General Schedule to your University Archives. If your institution does not have an Archives, contact your university records officer of the University Library. If no other space is available, the records must be maintained permanently in the office that created the records or in a storage space that is controlled for temperature and humidity, free of pests and insects, and secure from unauthorized entry.

Record Copy

A record copy is defined as “the single copy of a document, often the original, that is designated as the official copy for reference and preservation.”⁶ The record copy is the one whose retention and disposition is mandated by these functional schedules; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to designate clearly what position or office is required to maintain an official record for the duration of its designated retention period. To facilitate this process, SANC has provided a sample file plan for agency use (available on the state agency records management page at <https://archives.ncdcr.gov/documents/state-agency-rm>). In identified cases where records overlap between state agencies, SANC has specified on the schedules which agency is considered the record owner.

Record Custody

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

Reference Value

The disposition instruction to destroy in office when reference value ends is usually applied to records that were not created by the recipient. Reference files include materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency; subject files containing informational copies of records organized by areas of interest; and

⁶ Ibid.



reference copies of records where another individual or agency is responsible for maintaining the record copy. The agency is given the discretion to determine how long these records should be retained before destruction, and this decision should be documented in a file plan or other policy so that all members of the agency can be consistent in their handling of these records.

Authorization to Destroy Paper Records

Before a 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 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.



Request for Change in University Records Schedule

Use this form to request a change in the University records retention and disposition schedule. Submit the signed original and keep a copy for your file. A proposed amendment will be prepared and submitted to the appropriate state and university officials for their approval and signature. Copies of the signed amendment will be sent to you for insertion in your copy of the schedule.

UNIVERSITY INFORMATION

Requestor name _____

Department/Office/Unit _____

Phone and email _____

Mailing Address _____

CHANGE REQUESTED

Specify edition of records retention schedule being used: _____

- Add a new item
- Delete an existing item Standard Number ____ Page ____ Item Number ____
- Change a retention period Standard Number ____ Page ____ Item Number ____

Title of Records Series in Schedule or Proposed Title:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by: _____

Signature	Title	Date
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Approved by: _____

Signature	Requestor's Supervisor	Date
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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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