

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS



Issued By:



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

May 1, 2016

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## Water & Sewer Authorities and Sanitary Districts Records Retention and Disposition Schedule

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records 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 agency or official having custody of them without further reference to or approval of either party to this agreement. The local government agency 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.**

This local government agency 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 local government agency 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 local government agency does not establish internal policies and retention periods, the local government agency 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 local government agency 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 agency 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

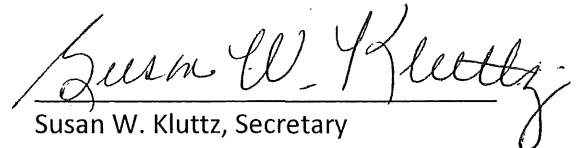
\_\_\_\_\_  
Authority Director or CEO



Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Chair, Authority Governing Board



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

Authority: \_\_\_\_\_

## EXECUTIVE SUMMARY

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

## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

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

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

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

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### ***Q. How do I get this schedule approved?***

- A.** This schedule must be approved by your governing body for use in your agency. That approval should be made in a regular meeting and recorded as an action in the minutes. It may be done as part of the consent agenda, by resolution, or other action.
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### ***Q. Am I required to have all of the records listed on this schedule?***

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

### ***Q. What is “reference value”?***

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

### ***Q. Do the standards correspond to the organizational structure of my agency?***

- A.** Records series are grouped into standards to make it easier for users to locate records and their disposition instructions. You may find that the groupings reflect the organizational structure of your agency, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule’s organization is to provide an easy reference guide for the records created in your agency.
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### ***Q. What if I cannot find some of my records on this schedule?***

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

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

“Public record” or “public records” shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

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**Q. *Is any person allowed to see my records?***

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

“Every custodian of public records shall permit any record in the custodian’s custody to be inspected and examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law. ... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

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**Q. *What about my confidential records?***

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

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

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

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**Q. *What do I do with permanent records?***

**A.** Permanent records should be maintained in the office that created the records, forever. They must also have a preservation duplicate, which is either a paper or microfilm copy. See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Cultural Resources (<http://archives.ncdcr.gov/Portals/26/PDF/guidelines/Humreadabledupspolicy.pdf>).

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**Q. *What is historical value?***

**A.** Historical records document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the government or its citizens. Call a Records Management Analyst for further assistance in assessing historical value.

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**Q. *What if I do not have any records?***

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

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

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

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

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

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

- A.** Probably not. The State Archives of North Carolina collects only very specific types of records from local government offices. Contact a Records Management Analyst for more information about which records are held or can be transferred to the State Archives of North Carolina for permanent preservation.

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

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

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***Q. Can I give my old records to the historical society or public library?***

- A.** Before you offer any record to a historical society, public library, or any other entity, you must contact a Records Management Analyst. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

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***Q. Whom can I call with questions?***

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

## AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS

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

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

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

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

Records used during routine audits may be destroyed when the governing body accepts the audit, if the records have completed the retention period listed in this schedule. If time remains in the retention period, the records must be maintained for the remainder of the period. The auditor's working papers must be kept according to the schedule. (See **AUDITS: PERFORMANCE**, page 2, item 7, and **AUDITS: FINANCIAL**, page 17, item 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 agency 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.”<sup>1</sup>

According to North Carolina General Statutes § 121 and § 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the General Schedule for State Agency Records, their office’s Program Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

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

- A.** Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the General Schedule for State Agency Records or your office’s Program Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

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

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

- Drafts and working papers for internal 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.

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

Working papers supporting certain financial, legal, and other mission-critical functions, however, may continue to have value even after the final, official copy has been approved. To retain these records appropriately, consult the General Schedule for State Agency Records or your office's Program Records Retention and Disposition Schedule.

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

- A.** If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

See also the State Archives of North Carolina's guidance on digital signatures found at the following link: [http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic\\_signature\\_policy.pdf](http://archives.ncdcr.gov/Portals/26/PDF/guidelines/electronic_signature_policy.pdf)

## LEGEND FOR RECORDS SCHEDULE

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



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

**Item #** – an identifying number assigned to each records series for ease of reference.

**Series** – “a group of similar records that are . . . related as the result of being created, received, or used in the same activity.” (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*). Series in this schedule are based on common functions in government offices.

**Records Series Title** – a short identification of the records in a series, based on their common function.

**Series Description** – a longer description of the records in a series, often including the types of records that can frequently be found in that series. This information is included underneath the Records Series Title.

**Disposition Instructions** – instructions dictating the length of time a series must be retained and how the office should dispose of those records after that time.

**Citation** – a listing of references to statutes, laws, and codes related to the records series. Citations can include:

- Authority: governing the creation of records
- Confidentiality: limiting access to public records
- Retention: setting a retention period

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

**NOTICES OF PUBLIC MEETINGS**

Includes notices and regular meeting schedules.

See also **AFFIDAVITS OF PUBLICATION**, page 42, item 1.

Sample records series title and description with cross-reference included

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



As of March 1, 2019, all local government agencies in North Carolina will use the General Records Schedule for Local Government Agencies to find the appropriate disposition instructions for records that fall under these standards:

- Administration and Management Records
- Budget, Fiscal, and Payroll Records
- Geographic Information Systems Records
- Information Technology Records
- Legal Records
- Personnel Records
- Public Relations Records
- Risk Management Records
- Workforce Development Records

More information about this transition can be found on our blog at <https://ncrecords.wordpress.com/2019/01/14/new-retention-schedule-model-for-north-carolina-local-governments/>.

This new Local Government General Records Schedule can be found on our website at <https://archives.ncdcr.gov/government/retention-schedules/local-government-schedules> and supersedes the correlating standards that were a part of previously approved local government agency schedules, so we have deleted those standards from the published version of this schedule.

If you have any questions, please contact [a records management analyst](#) in the Government Records Section of the State Archives of North Carolina.



**STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS**

Official records pertaining to the authority, operating philosophy, methods, and primary functions of water & sewer authorities and sanitary districts. Comply with applicable provisions of G.S. § 132-1.7 regarding confidentiality of detailed plans and drawings of public buildings and infrastructure facilities.

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABANDONED WATER AND SEWER LINES</b> Records documenting the location of abandoned water and sewer lines.	Retain in office until abandoned line is removed.	Retention: 15A NCAC 2T .0403
2.	<b>BIOSOLIDS TREATMENT RECORDS</b> Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans, and other related records.	Destroy in office after 5 years.*	Authority: 15A NCAC 2T .0100  Retention: 40 CFR 122.41(j)(2) 40 CFR 503.17
3.	<b>CERTIFIED FACILITY OPERATORS LOGS AND REPORTS</b> Includes records of certified facility operators related to operation of water and wastewater treatment facilities and distribution systems.	a) Destroy in office records concerning the operation of water treatment facilities after 3 years.*  b) Destroy in office records concerning the operation of wastewater treatment facilities after 5 years.*	Authority: 15A NCAC 18C .1301  Retention: 15A NCAC 18C .1302
4.	<b>COMMUNITY WATER SYSTEM PERMIT</b> Permit issued by the NC Department of Environmental Quality.	Destroy in office when superseded.	Authority: G.S. § 130A-328


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

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

STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5. 	<p><b>CONSTRUCTION DRAWINGS</b></p> <p>Maps and drawings including water and sewer, paving curb and gutter construction, property descriptions, and annexations.</p> <p>See also <b>WATER AND WASTEWATER FACILITY ENGINEERING AND SYSTEM PLANS</b>, page 69, item 35.</p>	<p>a) Retain in office maps of sewer system for life of system.</p> <p>b) Destroy in office remaining records when reference value ends.†</p> <p>Agency Policy: Destroy in office after _____</p>	<p>Confidentiality: G.S. § 132-1.7</p> <p>Retention: 15A NCAC 2T .0403</p>
6. 	<p><b>CUSTOMER FINANCIALS</b></p> <p>Billing and receipt records concerning customer accounts. Includes customer account histories, applications for services, billing adjustment records, records of customers required to pay a deposit to receive service, and direct draft authorizations.</p>	<p>a) Destroy in office utility bills and receipts after 3 years.*</p> <p>b) Destroy in office utility bills and related records submitted to the NC Debt Setoff Clearinghouse after 3 years.*</p> <p>c) Destroy in office truncated customer checks after 30 days.</p> <p>d) Destroy in office copies of notices of unpaid bills after payment or deemed uncollectable.</p> <p>e) Destroy in office customer deposit records and direct draft authorizations 3 years after account is closed.</p> <p>f) Destroy in office customer account histories when reference value ends.†</p> <p>Agency Policy: Destroy in office after _____</p>	<p>Confidentiality: G.S. § 132-1.1(c)</p>
7.	<p><b>CUSTOMER USAGE RECORDS</b></p> <p>Includes reports, plans, or similar records submitted by industrial users or publicly-owned treatment works concerning intended or actual use of the system.</p>	<p>Destroy in office after 3 years.*</p>	<p>Retention: 40 CFR 403.12(o)(3)</p>


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

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

ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8. 	<b>CUSTOMER WORK ORDERS</b> Includes service orders such as connection and disconnection of service and other maintenance functions.	Destroy in office 1 year after completion of work.	Confidentiality: G.S. § 132-1.1(c)
9.	<b>DAM CONSTRUCTION RECORDS</b>	Retain in office for life of structure.	
10.	<b>DAM OPERATIONS AND MAINTENANCE RECORDS</b>	Retain in office for life of structure.	
11.	<b>DISCHARGE MONITORING REPORTS</b> Discharge monitoring and non-discharge reports submitted to state and federal regulatory agencies. Includes supporting monitoring information and data such as laboratory reports, bench notes, data logs, and process control tests. Also includes copies of monthly reports required by National Pollution Discharge Elimination System (NPDES) permits.	a) Destroy in office NPDES reports 5 years from date of submission.* b) Destroy in office annual reports 5 years from date of submission.* c) Destroy in office daily reports and remaining records after 3 years.*	Authority: 40 CFR 122.41(j) 15A NCAC 2B .0500  Retention: 40 CFR 122.41(j)(2) 15A NCAC 2B .0506 15A NCAC 2T .0403
12.	<b>EXEMPTIONS AND VARIANCES</b> Exemption and variance records concerned with the installation of water and sewer lines.	Destroy in office 5 years after expiration.*	Retention: 40 CFR 141.33(d) 15A NCAC 18C .1526
13.	<b>GROUNDWATER MONITORING RECORDS</b> Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	
14.	<b>HAZARDOUS WASTE DISPOSAL RECORDS</b> Includes copies of manifests, biennial reports, exception reports, test results, waste analyses, and other related records.	Destroy in office after 3 years.*	Retention: 40 CFR 262.40 15A NCAC 13A .0107

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

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

STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>LABORATORY OPERATIONS</b> Records pertaining to certification of laboratories to perform tests on water resources and to perform biological toxicity testing and population surveys of water and wastewater. Includes documentation of all analytical quality control practices and supporting records, biological laboratory certification/criteria procedures document, and other related records.	a) Destroy in office documentation of analytical quality control practices and supporting records after 5 years.* b) Destroy in office necessary data for field parameter certification after 5 years.* c) Destroy in office all other records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	Authority: 15A NCAC 2H .0805  Retention: 15A NCAC 2H .0805 15A NCAC 2H .0807 15A NCAC 2H .1107
16.	<b>LEAD AND COPPER COMPLIANCE RECORDS</b> Includes all monitoring records required by federal, state, and local regulations.	Destroy in office after 12 years.*	Retention: 40 CFR 141.91
17.	<b>LINE INSPECTION MAPS</b> May include video recordings monitoring lines.	Destroy in office when superseded and obsolete.	
18.	 <b>MAPS (UTILITY INSTALLATIONS AND DISTRIBUTIONS)</b> Includes maps, plats, charts, and similar records showing the location of water mains, pumps, valves, hydrants, meters, storage locations, etc., throughout the system. Also includes sewer collection system maps showing the location of gravity collector mains, force mains, lift stations, manholes, and valves.  See also <b>GEOSPATIAL RECORDS</b> , page 76.	Paper: Retain in office for life of system.  GIS dataset: Retain in office for life of system. Create a snapshot of dataset annually. To maintain,  <i>Either:</i> Transfer snapshot to NCOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .  <i>Or:</i> If retained in office, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a> .	Confidentiality: G.S. § 132-1.7  Retention: G.S. § 87-121(f) 15A NCAC 2T .0403

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


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



<b>STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER &amp; SEWER AUTHORITIES AND SANITARY DISTRICTS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
19.	<b>METER RECORDS</b> Includes meter reading records showing consumer water consumption. Also includes records concerning installation, testing, and calibration of water meters.	a) Destroy in office records verifying installation of meter 3 years after equipment is no longer owned and/or operational if like replacement occurred. b) Destroy in office records verifying installation of meter 5 years after equipment is no longer owned and/or operational if unlike replacement occurred. c) Destroy in office meter reading records after 3 years.* d) Destroy in office water meter testing and calibration records after 5 years.*	
20.	<b>NOTICES TO PROPERTY OWNERS OF APPROVAL OF WATER UTILITY INSTALLATION</b>	Destroy in office after 2 years.	
21.	<b>PARTICIPATION CONTRACTS</b> Contracts used to determine amount of reimbursement to developer. May include construction drawings.	Destroy in office 3 years after completion.*	
22.	<b>PERIODIC INSPECTION REPORTS OF INDUSTRIAL FACILITIES</b>	Destroy in office after 3 years.	Retention: 15A NCAC 2T .0403


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STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23. 	<b>PRETREATMENT PROGRAMS</b> Includes pretreatment permits, annual pretreatment reports, records of monitoring activities and results, water quality records, records of industrial user impact, laboratory records, and other related records.	a) Destroy in office permits and supporting documentation 5 years after expiration, cancellation, revocation, or denial.* b) Destroy in office laboratory records after 5 years.* c) Destroy in office remaining records after 3 years.*	Authority: 15A NCAC 2H .0906 15A NCAC 2H .0916  Confidentiality: G.S. § 132-1.2 15A NCAC 2H .0913  Retention: 40 CFR 503.17 15A NCAC 2H .0908
24.	<b>RATE SCHEDULES</b> Includes schedules of rates, fees, charges, and penalties for usage of and for services furnished by any system operated by the authority.	Retain in office permanently.	Authority: G.S. § 162A-9
25.	<b>RECLAIMED WATER RECORDS</b> Includes applications, monitoring reports, operation and maintenance plans, specifications, residuals management plans, local program approvals, and other related records.	Destroy in office after 10 years.*	Authority: 15A NCAC 2U .0100
26.	<b>SANITARY SURVEYS</b> Includes reports, summaries, studies, correspondence (including e-mail), and other related records documenting the sanitary condition of system.	Destroy in office 10 years after completion of survey.*	Retention: 40 CFR 141.33(c) 15A NCAC 18C .1526


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<b>STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER &amp; SEWER AUTHORITIES AND SANITARY DISTRICTS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
27. 	<b>SERVICE DISCONTINUANCES</b> Includes termination notices, energy assistance notifications, deferred payment agreements, dispute review documents, and other related records relating to the actual or threatened disconnection of service.	Destroy in office 1 year after resolution.*	Confidentiality: G.S. § 132-1.1(c)
28.	<b>SERVICE INTERRUPTIONS</b> Includes reports, logs, and other related records documenting service interruptions.	Destroy in office after 3 years.*	
29.	<b>SEWER JETTING AND VACTORING RECORDS</b> Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	Retention: 15A NCAC 2T .0403
30.	<b>TAP ON AND HOOKUP RECORDS</b> Applications, permits, contracts, logs, and other related records documenting location and installation of water and wastewater hookups and taps.	Destroy in office after 3 years.*	Retention: 15A NCAC 2T .0403
31.	<b>VIOLATION RECORDS</b> Includes all documentation of actions taken to correct federal, state, and local violations of water and wastewater management standards.	Destroy in office 3 years after last corrective action taken.*	Retention: 40 CFR 141.33(b) 15A NCAC 18C .1526
32.	<b>WASTEWATER MAINTENANCE OPERATION REPORTS</b>	Destroy in office after 3 years.	Retention: 15A NCAC 2T .0403

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ITEM #	STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<b>WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS</b> Includes reports of failure of treatment facilities resulting in a bypass with treatment of wastewater, discharge of waste which is abnormal in quality or characteristic, and process unit failure that renders the agency incapable of adequate wastewater treatment.	Destroy in office after 3 years.*	Authority: 15A NCAC 2B .0506  Retention: 15A NCAC 2B .0506
34.	<b>WASTEWATER QUALITY ANALYSES</b> Includes wastewater and stream flow measurement reports, influent, effluent, and stream sampling reports, biological and toxicity monitoring, tests and analyses, laboratory reports, bench notes, data logs, process control tests, monitoring and calculation sheets, and other related records.	Destroy in office after 3 years.*	Authority: 15A NCAC 2B .0500  Retention: 15A NCAC 2B .0505 15A NCAC 2B .0506
35.	 <b>WATER AND WASTEWATER FACILITY ENGINEERING AND SYSTEM PLANS</b> Includes authorizations to construct, building plans, engineering plans, and specifications.	Retain in office permanently.	Authority: 15A NCAC 18C .0300  Confidentiality: G.S. § 132-1.7 15A NCAC 2H .0115

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WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS  
RECORDS RETENTION AND DISPOSITION SCHEDULE (MAY 1, 2016)

STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	 <p><b>WATER AND WASTEWATER PERMITS AND APPROVALS</b> Permits, approval letters, and other related records required by local, state, and federal ordinance, regulation, and statute. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.</p>	<p>a) Retain in office approval letters and supporting documentation permanently.</p> <p>b) Destroy in office permits 5 years after expiration, cancellation, revocation, or denial.*</p>	<p>Authority: 40 CFR 122.28 G.S. § 130A-328 15A NCAC 2H .0100 15A NCAC 2T .0100</p> <p>Confidentiality: G.S. § 132-1.2 15A NCAC 2H .0115</p>
37.	<b>WATER AND WASTEWATER SERVICE AGREEMENTS</b>	Destroy in office 3 years after termination or expiration.*	<p>Retention: 15A NCAC 2T .0403</p>
38.	 <p><b>WATER AND WASTEWATER SYSTEM ENGINEERING, MAINTENANCE, AND REPAIR RECORDS</b> Includes records documenting installation, authorizations to construct, building plans, locations, specifications, engineer's reports, operation and maintenance plans, and maintenance history for hydrants, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.</p>	<p>a) Retain in office as built plans and specifications permanently.</p> <p>b) Destroy in office system equipment records 3 years after equipment is no longer owned and/or operational if like replacement occurred.</p> <p>c) Destroy in office system equipment records 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.</p> <p>d) Destroy in office background surveys, studies, reports, drafts, and other records when superseded or obsolete.</p>	<p>Authority: G.S. § 130A-317 15A NCAC 18C .0300</p> <p>Confidentiality: G.S. § 132-1.7</p> <p>Retention: 15A NCAC 2T .0403</p>
39.	<p><b>WATER AND WASTEWATER SYSTEM INSPECTIONS AND TESTS</b> Includes non-compliance inspection and test records conducted by a facility.</p>	Destroy in office after 3 years.*	<p>Retention: 15A NCAC 2T .0403 15A NCAC 18C .1302</p>

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WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS  
RECORDS RETENTION AND DISPOSITION SCHEDULE (MAY 1, 2016)

STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER & SEWER AUTHORITIES AND SANITARY DISTRICTS			
ITEM #	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40. 	<b>WATER AND WASTEWATER SYSTEM MANAGEMENT PLANS</b> Includes final adopted plans and amendments, background surveys, studies, and reports.	a) Retain in office adopted plans and amendments permanently. b) Destroy in office drafts, background surveys, studies, and reports 3 years after adoption of plan.	Authority: 15A NCAC 18C .0307  Confidentiality: G.S. § 132-1.7  Retention: 15A NCAC 2T .0403 15A NCAC 18C .1526
41.	<b>WATER AND WASTEWATER SYSTEM PROJECT RECORDS</b>	a) Retain in office project pre-approval and final approval letters permanently. b) Destroy in office remaining records 3 years after project is completed.	Authority: 15A NCAC 18C .0300  Retention: 15A NCAC 18C. 1302
42.	<b>WATER SHORTAGE RESPONSE PLANS</b> Water conservation plan in the event of a drought or other water shortage conditions.	Destroy in office when superseded and obsolete.	Authority: G.S. § 143-355.2 15A NCAC 2E .0607
43.	<b>WATER STOCK PURCHASE RECORDS</b> Records documenting the purchase of water from individuals and companies.	Destroy in office after 3 years.*	
44.	<b>WATER SUPPLY QUALITY ANALYSES</b> Includes laboratory reports and tabular summaries of microbiological, turbidity, chemical, radiological, and physical analyses, and climatological observations. Also includes records of actions taken to correct violations.	a) Destroy in office records of microbiological and turbidity analyses after 5 years. b) Destroy in office records of chemical and radiological analyses after 10 years. c) Destroy in office records of actions taken to correct violations 3 years after last corrective action taken.* d) Destroy in office remaining records after 5 years.	Retention: 40 CFR 141.33 15A NCAC 18C .1526

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<b>STANDARD 9: PROGRAM OPERATIONAL RECORDS - WATER &amp; SEWER AUTHORITIES AND SANITARY DISTRICTS</b>			
<b>ITEM #</b>	<b>RECORD SERIES TITLE</b>	<b>DISPOSITION INSTRUCTIONS</b>	<b>CITATION</b>
<b>45.</b>	<b>WATER SYSTEM OPERATIONS RECORDS</b> Includes backflow prevention reports, flow reports, capacity studies, pump station reports, and other records that summarize the operations of water supply, treatment, distribution, and collection.	a) Destroy in office records of water supplied to distribution system, by sources, after 15 years or 3 years after source is abandoned.* b) Destroy in office remaining records after 6 years.*	
<b>46.</b>	<b>WATER TANKS AND BOOSTER STATIONS RECORDS</b> Includes specifications.	Destroy in office after 6 years.*	

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## DESTRUCTION OF PUBLIC RECORDS

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### ***Q. When can I destroy records?***

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

### ***Q. How do I destroy records?***

- A.** After your agency has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- 1) burned, unless prohibited by local ordinance;
  - 2) shredded, or torn so as to destroy the record content of the documents or material concerned;
  - 3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - 4) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold without pulverizing or shredding the documents so that the information contained within cannot be practicably read or reconstructed.

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

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

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

Without your agency’s approval of this records schedule, no records may legally be destroyed.

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

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

If the records do not have historical value, we will ask you to complete a **REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS** (page 83) if the records are no longer being created. If the records are an active records series, an analyst will help you develop an amendment to this schedule so that you can destroy the records appropriately from this point forward.

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### ***Q. Am I required to tell anyone about the destructions?***

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



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

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### ***Q. When can I delete my e-mail?***

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

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

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

Other publications (available online at the [State Archives of North Carolina website](http://www.southcarolina.gov)) that will be particularly helpful in managing your e-mail include tutorials on managing e-mail as a public record and on using Microsoft Exchange.

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

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

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

**A.** The best practice is to avoid using personal resources, including private e-mail accounts, for public business. G.S. § 132-1 states that records “made or received pursuant to law or ordinance *in connection with the transaction of public business* by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal e-mail account is irrelevant.

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

**A.** You may scan any record, but you will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your agency must develop an electronic records policy and then submit a Request for Disposal of Original Records Duplicated by Electronic Means. You can find these templates in the Digital Imaging section of the State Archives of North Carolina website (<http://archives.ncdcr.gov/ForGovernment/DigitalRecords/DigitalRecordsPoliciesandGuidelines.aspx#imaging>). Contact a Records Management Analyst for further instructions on how to develop a compliant electronic records policy.

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

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

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

**Non-permanent records** may be retained in any format. You will need to take precautions with electronic records that you must keep more than about 5 years. Computer systems do not have long life cycles. Each time you change computer systems, you must convert all records to the new system so that you can assure their preservation and provide access.

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

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

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

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

Note that for e-mail, voicemail, text messages, and social media, they should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, voicemail, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see **LEAVE RECORDS**, page 49, item 24).

## GEOSPATIAL RECORDS

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### ***Q. Why should geographic information system (GIS) datasets be retained and preserved?***

- A.** Geospatial records are public records and need to be retained and preserved based on their legal, fiscal, evidential and/or historical value according to an established retention schedule. Local agencies involved in GIS operations should work with the State Archives of North Carolina in order to appraise, inventory, and preserve their geospatial records according to established best practices and standards to insure both their short- and long-term accessibility.

Due to the complexity and transitory nature of these records, geospatial records retention and long-term preservation is a community-wide challenge. GIS files have become essential to the function of many local agencies and will continue to frequently be utilized in agency decision-making processes in the near and far future. Accessibility of GIS records over time has legal, fiscal, practical, and historical implications. The availability of GIS records can help safeguard the local government's legal and fiscal accountability and aid agencies in conducting retrospective and prospective studies. These studies are only possible when essential data from the past are still available.

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### ***Q. What GIS datasets should be preserved by local governments?***

- A.** The following types of geospatial records have been designated as having archival value:
- Parcel data
  - Street centerline data
  - Corporate limits data
  - Extraterritorial jurisdiction data
  - Zoning data, address points
  - Orthophotography (imagery)
  - Utilities
  - Emergency/E-911 themes

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### ***Q. How often should we capture the datasets retained for their legal, fiscal, evidential or historical value?***

- A.** Consult the retention schedule for frequency of capture. The frequency of capture is based on the significance of the record as well as its alterability.

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### ***Q. What data formats, compression formats, and media should be used to preserve the data?***

- A.** Archiving practices should be consistent with North Carolina Geographic Information Coordinating Council (GICC) approved standards and recommendations. (Examples: Content Standards for Metadata; Data Sharing Recommendations). Consult the GICC website at <http://www.ncgicc.com/>

You should also comply with guidelines and standards issued by the State Archives of North Carolina, which are available on its website.

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**Q. *Who should be responsible for creation and long-term storage of archived data?***

- A.** The creating agency, NCOneMap, and the State Archives of North Carolina may all have responsibility for archiving data. If you choose to upload your data to NCOneMap, consult with your county's GIS department to determine whether data will be uploaded by your agency or by the whole county. If you choose not to upload your data to NCOneMap, your agency must comply with standards (for metadata, file naming, data sharing, and long term preservation) and procedures adopted by the North Carolina Geographic Information Coordinating Council.

## MICROFILM

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### ***Q. Why do you still use microfilm?***

**A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. § 8-45.1 and § 153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass, and there is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. The State Archives of North Carolina provides a publication, *Micrographics: Technical and Legal Procedures*, on our website. It explains the four groups of national standards for the production of archival quality microfilm:

- manufacture of raw film
- filming methods
- processing (developing) film
- storage methods

That publication also provides sample forms, targets, and procedures that you or your vendor can use in producing film of your records.

---

### ***Q. What film services do you provide?***

**A.** The Department of Natural and Cultural Resources provides microfilming services for minutes of major decision-making boards and commissions. We will also film records of adoptions for Social Services agencies. Once those records are filmed, we will store the silver negative (original) in our security vault. Contact the Records Management Analyst in charge of microfilm coordination for the most current information.

---

### ***Q. How do I get my minutes filmed?***

**A.** We have two processes to film minutes. First, you can send photocopies of your approved minutes to us in the mail. Simply include a copy of the **Certification of the Preparation of Minutes for Microfilming** form (available online at the [State Archives of North Carolina website](#)) with each shipment. For more detailed instructions, contact a Records Management Analyst.

Alternatively, you can bring us your original books. We will film them and return them to you. This process is most useful when you have more minutes to film than you are willing to photocopy. It is important to remember that a representative of your office or ours must transport the original books in person so that the custody of the records is maintained. You should not mail or ship your original minutes. Call a Records Management Analyst to make arrangements for an appointment for your books to be filmed. We will make every effort to expedite the filming so that your books will be returned to you as quickly as possible.

---

### ***Q. What if I need my books while they are being filmed?***

**A.** Call the Raleigh Office at (919) 814-6900, and ask for the Records Management Analyst in charge of microfilm coordination.

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### ***Q. Can I send you my minutes electronically?***

**A.** We are working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of microfilm coordination for more information.

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### ***Q. I have some old minutes that are not signed. Can they still be filmed?***

**A.** If the only copy you have available is unsigned, and you use it as the official copy, we will film it.

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**Q. *What if my books are destroyed after they have been filmed?***

- A.** Call a Records Management Analyst who will help you make arrangements to purchase copies of the microfilm from our office. You can then send those reels to a vendor who can either make new printed books or scan the film to create a digital copy.

## DISASTER ASSISTANCE

---

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

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

***DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.***

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

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

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

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

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

### ***Q. What are essential records?***

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

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

## STAFF TRAINING

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

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact a Records Management Analyst if you are interested in having one of the workshops presented to your agency. We will work with you directly to develop training suited to your specific needs. Our basic workshops are:
- Managing public records in North Carolina
  - Scanning/digital imaging
  - Disaster preparedness and recovery
  - Confidentiality
  - Organizing paper and digital files
  - E-mail
- 

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

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

***Q. Are workshops only offered in Raleigh?***

- A.** No, we will come to your offices to present the workshops you need. We have no minimum audience requirement. We will also do presentations for professional associations, regional consortiums, and the public.
- 

***Q. Is there a fee for workshops?***

- A.** Not at this time.
- 

***Q. Are the workshops available in an online format?***

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





### REQUEST FOR CHANGE IN RECORDS SCHEDULE

**TO** Assistant Records Administrator  
Division of Archives and Records  
Government Records Section  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Mailing address \_\_\_\_\_  
Phone or email \_\_\_\_\_

#### INSTRUCTIONS

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

#### CHANGE REQUESTED

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

#### TITLE OF RECORDS SERIES IN SCHEDULE OR PROPOSED TITLE

**INCLUSIVE DATES OF RECORDS** \_\_\_\_\_ **APPROXIMATE VOLUME OF RECORDS** \_\_\_\_\_

#### DESCRIPTION OF RECORDS

#### PROPOSED RETENTION PERIOD

Requested by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature Title Date

Physical Address:  
215 N Blount Street  
Raleigh, N.C. 27601

State Courier 51-81-20  
Facsimile (919) 715-3627  
records@ncdcr.gov



**REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS**

**TO** Assistant Records Administrator  
N.C. Division of Archives and Records  
Government Records Section  
4615 Mail Service Center  
Raleigh, NC 27699-4615

**FROM** Name \_\_\_\_\_  
County \_\_\_\_\_  
Agency or department \_\_\_\_\_  
Phone number \_\_\_\_\_

In accordance with the provisions of G.S. 121 and 132, approval is requested for the destruction of records listed below. These records have no further use or value for official or administrative purposes.

RECORDS SERIES TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

Requested by: \_\_\_\_\_  
Signature Title Date

Approved by: \_\_\_\_\_  
Signature Head of Governing Board Date

Concurred by: \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator  
NC Division of Archives and Records Date



### **Request for Disposal of Original Records Duplicated by Electronic Means**

*If you have questions, call (919) 814-6900 and ask for a Records Management Analyst.*

This form is used to request approval from the Department of Natural and Cultural Resources to dispose of non-permanent paper records which have been scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to a digital environment. This form does not apply to records which have been microfilmed or photocopied, or to records with a permanent retention.

<b>Agency Contact Name:</b>		<b>Date (MM-DD-YYYY):</b>
<b>Phone (area code):</b>	<b>Email:</b>	
<b>County/Municipality:</b>	<b>Office:</b>	
<b>Mailing address:</b>		

<b>Records Series Title</b> A group of records as listed in records retention schedule	<b>Description of Records</b> Specific records as referred to in-office	<b>Inclusive Dates</b> (1987-1989; 2005-present)	<b>Approx. Volume of Records</b> (e.g. "1 file cabinet," "5 boxes")	<b>Retention Period</b> As listed in records retention schedule

Requested by: \_\_\_\_\_  
Signature Requestor Date

Approved by: \_\_\_\_\_  
Signature Requestor's Supervisor Date

Concurred by: \_\_\_\_\_  
Signature Assistant Records Administrator State Archives of North Carolina Date

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