



# RECORDS RETENTION AND DISPOSITION SCHEDULE

## GENERAL RECORDS SCHEDULE FOR LOCAL GOVERNMENT AGENCIES



Issued By:



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

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## 2019 Local Government Agencies General 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.**


All local government agencies 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*." All local government agencies hereby agree that they 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*."

All local government agencies 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. Agencies agree to comply with all policies, standards, and best practices published by the Department of Natural and Cultural Resources regarding the creation and management of electronic records.

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 supersedes the general standards in all previous local government retention and disposition schedules and is to remain in effect from the date of approval until it is reviewed and updated.

### APPROVAL RECOMMENDED

\_\_\_\_\_  
Municipal/County Clerk or Manager  
Title: \_\_\_\_\_

  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Head of Governing Body  
Title: \_\_\_\_\_

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

Municipality/County: \_\_\_\_\_

## EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may destroy public records only 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 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 halide 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 local government agencies 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 the records listed on this schedule?***

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

The Department of Natural and Cultural Resources (DNCR) is charged by the General Assembly with the administration of a records management program (N.C.G.S. §121-4 (2) and §132-8.1) and the maintenance of “a program for the selection and preservation of public records considered **essential** to the operation of government and to the **protection of the rights and interests of persons**” (§132-8.2). Permanent records with these characteristics require preservation duplicates that are human-readable (paper or microfilm). Some examples of these characteristics include:

- Affect multiple people, without regard to relation
- Have significance over a long span of time
- Document governance
- Document citizenship

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
  - Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.
  - Adoptions, marriages, and divorces document changes in familial relationships and document citizenship. Though adoptions are confidential (not available for public inspection), they document citizenship and changes in inheritance and familial succession.
  - Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above.
- See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Natural and Cultural Resources (<https://archives.ncdcr.gov/documents/human-readable-preservation-duplicates>) and check with a records analyst to determine whether your permanent records require a preservation duplicate.

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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 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 ACTION

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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 8, and **AUDITS: FINANCIAL**, page 19, item 6.) 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 characteristics, 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 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

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

- Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

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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:

<https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

## LEGEND FOR RECORDS SCHEDULE

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



– 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.

**AUDITS: PERFORMANCE**  
Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.  
  
See also **AUDITS: FINANCIAL**, page 20, item 6.

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.***

**STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS**

Official records pertaining to the authority, operating philosophy, methods, primary functions, and routine office administration of local agencies.

ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABSTRACTS OF MUNICIPAL ELECTIONS</b> Copies of abstracts prepared by the County Board of Elections and forwarded to the municipal clerk.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u> <i>Retention Note: Official record maintained permanently by the County Board of Elections.</i>	Authority: G.S. § 163-300
2.	<b>ACCREDITATION RECORDS</b> Records documenting accreditations and certifications received by the agency. Includes applications, final reports, and other related records.	Destroy in office 5 years after superseded or obsolete.	Authority: 10A NCAC 48B
3.	<b>ADMINISTRATIVE DIRECTIVES, REGULATIONS, AND RULES</b>	a) Retain in office official copy permanently. b) Destroy in office remaining records after 3 years.	
4.	<b>AGENDA AND MEETING PACKETS</b> Includes agendas and copies of supporting documentation submitted and discussed during meetings of public bodies. Also includes documentation of outside meetings attended by agency personnel.  See also <b>MINUTES OF PUBLIC BODIES</b> , page 11, item 42.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u>3 years</u>	

\* 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 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>APPLICATIONS FOR APPOINTMENT</b> Applications and related records received from individuals applying for appointments to serve on public boards, commissions, councils, and committees.	a) Destroy in office records concerning appointed individuals 1 year after expiration of term. b) Destroy in office remaining records when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>1 year</u>	
6.	<b>APPOINTMENT REPORTS</b> Includes annual appointment reports filed with the NC Department of the Secretary of State.	Destroy in office after 2 years.	Authority: G.S. § 143-157.1
7.	<b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b>  See also <b>MINUTES OF PUBLIC BODIES</b> , page 11, item 42.	Destroy in office after approval of official written minutes. <i>NOTE: If these serve as the official minutes, as allowed by G.S. § 143-318.10(e), their retention should be permanent. These disposition instructions apply to recordings produced solely for the purpose of generating official written minutes.</i>	
8.	<b>AUDITS: PERFORMANCE</b> Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.  See also <b>AUDITS: FINANCIAL</b> , page 19, item 6.	a) Retain in office permanently reports related to internal compliance or operational audits, hazardous material, or those that document a significant change in agency practices. b) Destroy in office remaining audit reports after 10 years. c) Destroy in office documentation of corrective measures 2 years after their implementation. d) Destroy in office working papers and remaining records when superseded or obsolete.	

\* 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.

<sup>†</sup> 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 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9. 	<b>BLUEPRINTS AND SPECIFICATIONS</b> Blueprints and specifications of agency owned buildings and facilities. Includes as-built plans and related records concerning approved changes.	a) Transfer as-built drawings to new owner when agency relinquishes ownership of building or facility. b) Retain in office as-built drawings for life of structure and then destroy. c) Destroy in office blueprints, floorplans, and other preliminary design and construction documents when superseded or obsolete.	Confidentiality: G.S. § 132-1.7
10.	<b>BONDS</b> Records documenting written guarantees from a third party, including bid bonds, payment bonds, performance bonds, and surety bonds.  See also <b>BIDS FOR PURCHASE</b> , page 20, item 10, and <b>PROJECTS</b> , page 14, item 53.	Destroy in office 5 years after expiration or cancellation.	
11.	<b>BULLETINS</b> Internal information sharing materials that circulate information within the agency. Also includes memoranda and newsletters.	Destroy in office when superseded or obsolete.	
12.	<b>BUSINESS CERTIFICATION RECORDS</b> Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.	a) Destroy in office all documentation 3 years after most recent recertification. b) If certification was never issued, destroy in office all documentation when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>2 years</u>	
13.	<b>BUSINESS DEVELOPMENT SUBJECT FILE</b>	Destroy in office after 3 years.	
14.	<b>CALENDARS OF EVENTS AND APPOINTMENTS</b>	Destroy in office when superseded or obsolete.	

\* 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.

<sup>†</sup> 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 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>CENSUS PROJECT RECORDS</b> Records created to assist the U.S. Census Bureau with the decennial census.	Destroy in office when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>2 years</u>	
16.	<b>CHARTER RECORDS</b> Charter and charter proceedings related to adoption, amendment and/or repeal.	Retain in office permanently.	
17.	<b>CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b> Records concerning objections, dissatisfaction, or disagreements with actions or positions taken or not taken by the agency. Includes comments and petitions submitted by citizens requesting action as well as routine requests for service. Also includes requests for reasonable accommodation under Title II of the Americans with Disabilities Act, including survey of agency buildings to determine accessibility to the physically handicapped, federal regulations, proposals for implementing the act, correspondence (including e-mail), resolutions, and solutions to access problems.  See also <b>CIVIL RIGHTS RECORDS</b> , page 44, item 5.	a) Transfer records as applicable to <b>LITIGATION CASE RECORDS</b> , page 47, item 17. b) Destroy in office comments, informal complaints, petitions, and requests 1 year after resolution.* c) Destroy in office accommodation requests and complaints 2 years after resolution.*	Authority: 42 USC 12132
18.	<b>CITIZEN REBATE PROGRAM RECORDS</b> Applications, receipts, and related records concerning rebate programs sponsored by the agency. These records document programs and incentivized actions that citizens may opt into.	a) Destroy in office financial records 3 years after approval.* b) Destroy in office applications 1 year after approval. c) Destroy in office denied applications when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>1 year</u>	

\* 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.

<sup>†</sup> 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 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<b>CITIZEN SURVEYS</b> Surveys and related records addressing agency services, policies, and other concerns.	Destroy in office when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>2 years</u>	
20.	<b>COLLECTED DATA</b> Information and statistics compiled and analyzed for research purposes or to support the functions of the agency.	Destroy in office when superseded or obsolete.	If data contains confidential information, abide by relevant restrictions.
21.	<b>COMPREHENSIVE PLAN</b> Long-range plan outlining policies, guidelines, and plans for future development of the agency. Includes official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans. Also includes strategic plans and business plans, as well as goals and objectives.	a) Retain in office comprehensive plans and strategic plans permanently. b) Destroy in office background surveys, studies, reports, and drafts 5 years after adoption of plan. c) Destroy in office business plans 2 years after execution of plan. d) Destroy in office goals and mission statements when superseded or obsolete.	
22.	<b>CORRESPONDENCE AND MEMORANDA</b> Administrative and management correspondence/memoranda (including e-mail) written or received by the office concerning agency authority, operating philosophy, purpose, methods, and any other function.  For information on handling e-mail and text or instant messages, see <b>ELECTRONIC RECORDS</b> , page 78.	a) Transfer correspondence (including e-mail) with historical value to <b>HISTORY RECORDS</b> , page 8, item 32, after 3 years. b) Destroy routine administrative correspondence and memoranda after 1 year. c) Destroy in office remaining records after 3 years.  <i>Retention Note: The correspondence (including e-mail) of the most senior administrator has historical value and should be retained permanently.</i>	

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<sup>†</sup> 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 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<b>CUSTOMER CALL CENTER RECORDINGS</b> Recordings of calls to customer service centers made for quality assurance and training purposes.	Destroy in office after 30 days.	
24.	<b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records concerning the maintenance, repair, routine testing, and inspection of agency owned equipment and vehicles. Also includes warranties.  See also <b>GRANTS</b> , page 8, item 31, and <b>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</b> , page 40, item 15.	a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of equipment and vehicles after 1 year.* b) Destroy in office records documenting all other maintenance and repairs after 3 years.* c) Destroy in office warranties 1 year after expiration.	
25.	<b>EQUIPMENT AND VEHICLE REFERENCE RECORDS</b> Includes operation, specification, and technical manuals. Also includes brochures, bulletins, and related documentation.	Destroy in office when superseded or obsolete.	
26.	<b>EQUIPMENT, FACILITY, AND VEHICLE USAGE RECORDS</b> Records documenting the assignment, request, and usage of agency assets. Also includes mileage and checkout logs, fuel consumption reports, reservation requests, authorizations, utility usage logs, and similar records.	a) Destroy in office after 3 years if records are used for allocating costs or determining payment under rental or lease agreements.* b) Destroy in office remaining records after 1 year.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	<b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records documenting maintenance, repair, and inspection of agency-owned facilities.  See also <b>CONTRACTS, LEASES, AND AGREEMENTS</b> , page 45, item 8.	a) Destroy in office records documenting routine inspections, janitorial cleaning, environmental monitoring, and routine maintenance of facilities after 1 year.  b) Destroy in office records documenting system repair and improvement (including plumbing, electrical, fire, and other systems) after 3 years.	
28.	<b>FORMS AND TEMPLATES</b> Blank forms, templates, and letterhead used to create agency records.	Destroy in office when superseded or obsolete.	
29.	<b>GOVERNING AND ADVISORY BODY MEMBER FILES</b> Records concerning members of public boards, commissions, councils, and committees. Includes codes of conduct, ethics statements, agreements, notices of resignation, and other related records. Also includes biographical information and waivers.  See also <b>APPLICATIONS FOR APPOINTMENT</b> , page 2, item 5, and <b>OATHS OF OFFICE</b> , page 47, item 18.	a) Retain in office records with historical value permanently.  b) Destroy in office 1 year after superseded or obsolete waivers from board members choosing not to receive stipend/per diem payments.  c) Destroy in office remaining records 1 year after service ends.	
30.	<b>GRANT PROPOSALS</b> Proposals submitted for grants, including applications, correspondence (including e-mail), and other related records.	a) Transfer records concerning approved grants to <b>GRANTS</b> , page 8, item 31.  b) Destroy in office rejected or withdrawn grant proposals when reference value ends. <sup>†</sup>  Agency Policy: Destroy in office after <u>1 year</u>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	<b>GRANTS</b> Records concerning approved federal, state, and private grants. File includes applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records. Also includes documentation about grants issued by the agency along with research records generated as part of a grant project.  See also <b>GRANTS: FINANCIAL</b> , page 24, item 27.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.  b) Destroy in office records of state and private grants 5 years after final financial report is filed.*  c) Destroy in office records of other federal grants 3 years after final financial report is filed.  d) Destroy in office records not relating to a specific grant after 1 year.  <i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i>	Retention: 09 NCAC 03M .0703 2 CFR 200.333
32.	<b>HISTORY RECORDS (AGENCY AND EMPLOYEES)</b> Records concerning the history of the agency and its employees. Includes published and unpublished histories, biographical data, photographs, newspaper clippings, and other related records.	a) Retain in office records with historical value permanently.  b) Destroy in office remaining records when reference value ends.†  Agency Policy: Destroy in office after <u>2 years</u>	
33.	<b>IMPROPER CONDUCT INVESTIGATIONS</b> Records concerning investigations triggered by questions about ethics or conduct within an agency, such as whistleblower reports or allegations of fraud. Includes complaints, reports, investigations, and other related records. Also includes records from an ombuds office.	Destroy in office 3 years after resolution.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	<b>INDICES</b> Listings of where specific information can be found.	Destroy in office when superseded or obsolete.	
35.	<b>INTERAGENCY PROGRAMS</b> Records of programs involving more than one government agency. Includes resource materials, program information, and other related records.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u>	
36.	<b>INVENTORIES</b> Inventories describing the type of property (including equipment and facilities other and fixed assets), its location, and related information. Also includes inventory control and usage records, such as requisitions/draw tickets, mileage logs, request forms, and other related records.	a) Destroy in office lists of properties, facilities, fixed assets, supplies, and surplus property when superseded or obsolete. b) Destroy in office inventory control and usage records after 3 years.	
37.	<b>LEGISLATION AND REGULATORY RECORDS</b> Notices and copies of proposed or adopted state or federal legislation or regulations affecting the agency.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u>	
38.	<b>LOGISTICS MATERIALS</b> Records concerning scheduled plans of agency personnel. Includes routine notices, task lists, and arrangements.	Destroy in office after 1 year.	
39.	<b>MAIL: UNDELIVERABLE/RETURNED</b> Outgoing agency mail returned by the post office for any reason, including insufficient postage, incorrect address, forwarding order expired, etc. Also includes outgoing e-mail returned for any reason.	Destroy in office after 30 days.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40. 	<b>MAILING AND DISTRIBUTION RECORDS</b> Includes mailing and meeting notification lists, e-mail distribution lists, Sunshine Lists, and related documentation of transactions with the U.S. Postal Service, state courier, or private carriers.	a) Destroy in office Sunshine Lists when superseded or obsolete. b) Destroy in office remaining records when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>2 years</u>	Confidentiality: G.S. § 132-1.12 G.S. § 132-1.13
41.	<b>MEMBERSHIP RECORDS</b> Records concerning associations, organizations, groups, etc., with which the agency is involved. Includes records concerning memberships or registrations on behalf of the agency or agency personnel.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42.	<b>MINUTES OF PUBLIC BODIES</b> Includes minutes of the governing board and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the governing board and its subsidiary and advisory boards.  See the <b>MICROFILM</b> section on page 82 for instructions on microfilming.  See also <b>AGENDA AND MEETING PACKETS</b> , page 1, item 4, and <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b> , page 2, item 7. If there are other boards in the operational standard(s) or if the Workforce Development standard is included, add references to those boards here.	a) Retain in office permanently official minutes of the governing board and its subsidiary boards as well as all attachments necessary to understand the body's actions.  b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.  c) Destroy in office minutes of committees or subcommittees when reference value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.†  Agency Policy: Destroy in office after <u>2 years</u>	Authority: G.S. § 143-318.10
43.	<b>MINUTES (STAFF MEETINGS)</b> Minutes of staff meetings, including all referenced and attached documentation.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 1 year.	
44.	<b>MISCELLANEOUS (NON-BUILDING) APPLICATIONS, LICENSES, AND PERMITS</b> Includes, but not limited to, applications and permits regarding burning, special events, and landscape establishment.	a) Destroy in office 1 year after expiration of license/permit. b) Destroy in office applications for which a license/permit was never issued when reference value ends.†  Agency Policy: Destroy in office after <u>1 year</u>	Authority: G.S. § 66-77

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<b>NOTICES OF PUBLIC MEETINGS</b> Includes notices and regular meeting schedules.  See also <b>AFFIDAVITS OF PUBLICATION</b> , page 43, item 1, and <b>PUBLICITY RECORDS</b> , page 69, item 12.	Destroy in office after 1 year.	
46.	 <b>OFFICE SECURITY RECORDS</b> Records concerning the security of agency offices, facilities, vehicles, equipment, and personnel. Includes visitors' register; security, employee, or contractor access to facilities or resources; and surveillance system reports and recordings.	a) If the recording becomes evidence in a personnel investigation or lawsuit, transfer to <b>DISCIPLINARY ACTIONS</b> , page 54, item 12, or <b>LITIGATION CASE RECORDS</b> , page 47, item 17. b) Destroy in office recordings not required to support known investigations or litigation after 30 days. c) Destroy in office remaining records after 1 year.	Confidentiality: G.S. § 132-1.7
47.	<b>ORDINANCES</b> Includes code of ordinances.  See the <b>MICROFILM</b> section on page 82 for instructions on microfilming.	a) Retain in office official copy permanently. b) Destroy in office ordinance development records when ordinance is no longer in effect. c) Destroy in office additional copies (including tabled or failed ordinances) when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u>	
48.	<b>PEST CONTROL</b> Records concerning pest abatement or eradication programs overseen by the agency.	Destroy in office after 3 years.*	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	<b>POLICIES AND PROCEDURES</b> Records documenting the formulation, planning, and adoption of policies, procedures, and functions of the agency and its departments. File also includes organizational charts, reorganization studies, and similar records describing the arrangement and administrative structure of the agency.  See also <b>CIVIL RIGHTS RECORDS</b> , page 44, item 5, <b>POLICIES AND PROCEDURES (PERSONNEL)</b> , page 62, item 31, and <b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b> , page 38, item 7.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
50.	<b>POLL LIST/REGISTRATION LIST/ROSTER/ AUTHORIZATION TO VOTE (ATV)</b> Lists documenting registered electors and votes cast prior to County Board of Elections taking over municipal elections. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar records used to verify persons are registered voters at each polling location.	Contact State Archives of North Carolina prior to destroying old poll books and voter registration books.	Authority: G.S. § 163 Art. 15A G.S. § 163-166.7 08 NCAC 10B .0103 52 USC Chap. 205
51.	<b>PRICE QUOTATIONS</b>	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u> .	
52.	<b>PROCLAMATIONS AND ORDERS</b> Proclamations and orders issued by the governing board.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<b>PROJECTS</b> Includes project correspondence (including e-mail), feasibility studies, final reports, specifications, assessments, notices to proceed, cost estimates, change orders, statements of work, and similar documentation.  See also <b>PROJECT DOCUMENTATION</b> , page 39, item 11.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after completion of project.	
54.	<b>PROPERTY MANAGEMENT RECORDS</b> Includes appraisals of the financial valuation of agency-owned property as well as surveys, plats, and maps.	Destroy in office when superseded or obsolete.	
55.	<b>RATE AND FEE SCHEDULES</b> Records relating to rates, fees, and regulations concerning agency services.	Destroy in office when superseded or obsolete.	
56.	<b>RECORDS MANAGEMENT</b> Includes correspondence (including e-mail) with state and/or federal agencies with regards to records retention. Also includes records disposition documentation, file plans, and copies of records retention and disposition schedules.	a) Retain in office documentation concerning the final disposition of records permanently. b) Destroy in office remaining records when superseded or obsolete.	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57.	<b>REFERENCE (READING) FILE</b> Subject files containing informational copies of records organized by areas of interest. Also includes materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency as well as reference copies of documents where another individual or agency is responsible for maintaining the record copy.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>1 month</u>	
58.	<b>REPORTS AND STUDIES</b> Records concerning the performance of a department, program, or project, as well as those created for planning purposes. Includes all annual, sub-annual, or irregularly prepared research studies, reports, and studies generated by an agency or prepared by consultants hired by the agency. Also includes reports required to be submitted to the agency.  See also <b>CIVIL RIGHTS RECORDS</b> , page 44, item 5, and <b>COMPREHENSIVE PLAN</b> , page 5, item 21.	a) Retain in office permanently 1 copy of all annual and biennial reports written by the agency. b) Retain in office permanently reports and studies prepared by request of an agency's governing body or a court. c) Destroy in office after 3 years reports prepared monthly, bimonthly, or semi-annually. d) Destroy in office after 1 year activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis. e) Destroy in office when superseded or obsolete reports required to be submitted to the agency. f) Destroy in office remaining reports and studies when reference value ends.† Agency Policy: Destroy in office after <u>1 year</u> .  <i>Retention Note: Reports and studies listed elsewhere in this schedule should be retained the specified period of time.</i>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<b>REQUESTS FOR INFORMATION</b> Requests received and responses issued by the agency.  See also <b>PUBLIC RECORDS REQUESTS</b> , page 69, item 11.	Destroy in office after 1 year after resolution.	
60.	<b>REQUESTS FOR PROPOSALS (RFP)</b> Proposals submitted by vendors in response to requests from agency.  See also <b>BIDS FOR PURCHASE</b> , page 20, item 10, and <b>PRICE QUOTATIONS</b> , page 13, item 51.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>3 years</u>	
61.	<b>RESOLUTIONS</b> File consists of resolutions indicating date, issues or policy involved, and appropriate signatures.  See the <b>MICROFILM</b> section on page 82 for instructions on microfilming.	a) Retain in office permanently one copy of final resolution. b) Retain in office permanently resolution development records with historical value. c) Destroy in office additional copies of resolutions (including those tabled or failed) along with all remaining development records when reference value ends.† Agency Policy: Destroy in office after <u>1 year</u>	
62.	<b>SURPLUS PROPERTY</b> Inventories and reports of agency property to be surplussed.	Destroy in office 3 years after disposition of property.*	
63.	<b>TRACKING MATERIALS</b> Records intended to verify the receipt of information, such as certified mail receipts.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>2 years</u>	

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ITEM #	STANDARD 1: ADMINISTRATION AND MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
64.	<b>TRAVEL REQUESTS</b> Requests and authorizations for travel. Includes forms and itineraries.  See also <b>TRAVEL REIMBURSEMENTS</b> , page 28, item 45, and <b>PRICE QUOTATIONS</b> , page 13, item 51.	Destroy in office after 1 year.*	
65.	<b>VEHICLE REGISTRATION CARDS</b> North Carolina registration cards for vehicles in the agency fleet.  See also <b>VEHICLE TITLES</b> , page 49, item 23.	Destroy in office when superseded.	
66.	<b>WORK ORDERS</b> Includes date and location of work, cost of materials used and labor, type of work performed, and other related records regarding the repairs of equipment, facilities, and vehicles.	a) Destroy in office 1 year after work is completed.* b) If this is the only record documenting completed work, follow disposition instructions for <b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> , page 7, item 27, or <b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> , page 6, item 24.	

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**STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS**

Records created and accumulated concerning the managerial control, budgeting, disbursement, collection, and accounting of the agency.

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

ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCOUNTS PAYABLE</b> Records concerning the status of accounts in which the agency owes money to firms or individuals. Includes invoices, reimbursements, receipts or bills of sale, check registers, and subsidiary registers. Also includes stop payment notices.	Destroy in office 3 years after payment.*	
2.	<b>ACCOUNTS RECEIVABLE</b> Records concerning receivables owed and collected. 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 3 years after collection.*	
3.	<b>ACCOUNTS UNCOLLECTABLE</b> Records of accounts deemed uncollectable, including returned checks, write-off authorizations, and other related records.	Destroy in office 3 years after account is determined to be uncollectable.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>ANNUAL BUDGET</b> Annual budget and budget message submitted to governing board for approval.  See also <b>BUDGET REPORTS</b> , page 21, item 16.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after 3 years.  <i>Retention Note: Annual budgets should be entered into the minutes of the governing board.</i>	Authority: G.S. § 159-11
5.	<b>ARBITRAGE RECORDS</b> Records concerning arbitrage rebate calculations and funds rebated.	Destroy in office 3 years after final redemption date of the bonds and after all related debts and obligations have been satisfied.*	Authority: 26 CFR 1.148-3
6.	<b>AUDITS: FINANCIAL</b> Records concerning internal and external audits. Includes reports, working papers, and related records.  See also <b>AUDITS: PERFORMANCE</b> , page 2, item 8.	a) Retain in office reports permanently final reports related to internal compliance or operational audits or those that document a significant change in agency practices or have significant administrative value. b) Destroy in office after 10 years final reports related to internal accounting systems and controls and those with limited administrative value. c) Destroy in office working papers and remaining records when superseded or obsolete.*	Authority: G.S. § 159-34
7.	<b>AUTHORIZATION FORMS</b> Authorization to purchase materials.	Destroy in office after 3 years.*	
8.	<b>BANK STATEMENTS AND RECONCILIATIONS</b> Includes bank statements, canceled checks, deposit slips, and reconciliation reports.	Destroy in office after 3 years.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>BIDS FOR DISPOSAL OF PROPERTY</b> Records concerning the disposal of surplus property. Includes information about various disposition procedures used, such as sealed bids and public auction.  See also <b>ACCOUNTS RECEIVABLE</b> , page 18, item 2.	Destroy in office all records after the disposition of property has been recorded in governing board's minutes.*	Authority: G.S. § 153A-176
10.	<b>BIDS FOR PURCHASE</b> Records documenting quotes to supply products and services. Includes advertisements, tabulations, awards letters, records of bids, good faith effort documentation, and related records concerning accepted and rejected bids.	a) Transfer records to <b>CONTRACTS, LEASES, AND AGREEMENTS</b> , page 45, item 8 when bid is approved. b) Destroy in office bid records not awarded or opened after 1 year.*	Authority: G.S. § 143 Article 8
11.	<b>BOND CLOSING RECORDS</b> Includes applications, agreements, tax records, contracts, official statements, legal opinions, rating letters, public hearing bonds, title insurance, deeds of trust, and other related records concerning bonds issued by the agency. Also includes records concerning expenditure and/or investment of bond proceeds.	Destroy in office 3 years after entire issuance has been satisfied.*	Authority: G.S. § 159 Article 7
12.	<b>BOND REGISTER</b> Records of all bonds, notes, and coupons issued by the agency detailing the purpose of issuance, the date of issue, serial numbers (if any), denomination, maturity date, and total principal amount.	Retain in office permanently.	Authority: G.S. § 159-130
13.	<b>BONDS, NOTES, AND COUPONS</b>	Destroy in office 1 year from date of payment.	Authority: G.S. § 159-139

2

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# 2019 LOCAL GOVERNMENT AGENICES GENERAL RECORDS RETENTION AND DISPOSITION SCHEDULE





ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<b>BUDGET ADMINISTRATION RECORDS</b> Records of budget administration. Includes research, correspondence, and other related records.	Destroy in office after 2 years.*	
15.	<b>BUDGET EXECUTION RECORDS</b> Records of authorizations to move funds between budget codes.	Destroy in office when released from audits.	
16.	<b>BUDGET REPORTS</b> Includes daily detail reports and monthly budget reports. Also includes contract budget and expenditure reports and summaries of tax allocations.  See also <b>ANNUAL BUDGET</b> , page 19, item 4.	a) Destroy in office daily detail reports after 1 year.* b) Destroy in office remaining reports after 3 years.*	
17.	<b>BUDGET REQUESTS AND WORKING PAPERS</b> Includes budget requests, cost estimates, expenditures, program requests, salary and wage lists, correspondence (including e-mail), and related records.	Destroy in office after 3 years.*	Authority: G.S. § 159-10
18.	<b>BUDGET RESOLUTIONS AND ORDINANCES</b> Includes project ordinances, budget resolutions, and amendments.  See also <b>MINUTES OF PUBLIC BODIES</b> , page 11, item 42.	a) Retain official copies in the minutes of the governing board. b) Destroy in office remaining copies when reference value ends.†  Agency Policy: Destroy in office after <u>5 years</u>	Authority: G.S. § 159-8 G.S. § 159-13 G.S. § 159-13.2 G.S. § 159-15

2

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<b>COST ALLOCATION PLANS</b> Accounting report that calculates and spreads agency-wide indirect costs to departments and funds that receive a service from other departments.	Destroy in office after 3 years.*	
20. 	<b>CREDIT/DEBIT/PROCUREMENT CARD RECORDS</b> Records of assignation of agency credit cards and purchasing cards along with authorization logs.	Destroy in office when superseded or obsolete.*	Confidentiality: G.S. § 132-1.2(2)
21.	<b>DONATIONS AND SOLICITATIONS</b> Records concerning requests made to agency by outside organizations. Includes applications and other related records.  See also <b>FUND DRIVE AND EVENT RECORDS</b> , page 68, item 6.	a) Destroy in office records supporting approved donations 1 year after payment. b) Destroy in office rejected applications after 30 days.	
22. 	<b>ELECTRONIC FUNDS TRANSFERS (EFT)</b> Includes forms authorizing electronic transfer of monies via wire transfer or automated clearing house (ACH) as well as ACH bank reports.	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 14-113.20
23.	<b>ESCHEATS AND UNCLAIMED PROPERTY</b> Records containing information required to be included in holder reports submitted to the State Treasurer's office.  For more information, see the State Treasurer's memo, " <a href="#">Annual Reporting of Unclaimed Property</a> ."	a) Destroy in office after 10 years if report was filed prior to July 16, 2012.* b) Destroy in office after 5 years if report was filed on or after July 16, 2012.*	Authority: G.S. § 116B-60  Retention: G.S. § 116B-73

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	FINANCIAL JOURNALS AND LEDGERS	a) Destroy in office year-end summaries of receipts and disbursements after 3 years.* b) Destroy in office daily, monthly, or quarterly transaction detail journals and ledgers after 1 year.*	
25.	FINANCIAL REPORTS	a) Destroy in office annual financial reports or other reports generated to inform decision-making after 3 years.* b) Destroy monthly or quarterly reports generated for operational purposes after 1 year. c) Destroy logs and distribution reports generated to track transactions when released from audits.	
26.	<b>GOVERNMENT EMPLOYEES RETIREMENT SYSTEM MONTHLY REPORTS</b> Reports produced by the North Carolina Department of State Treasurer regarding the Teachers' and State Employees' Retirement System (TSERS) and the Local Governmental Employees' Retirement System (LGERS).	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>5 years</u>	



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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27.	<b>GRANTS: FINANCIAL</b> Records concerning approved federal, state, and private grants received or issued by the agency. Includes all relevant accounting, purchasing, payroll, and other financial records.  See also <b>GRANTS</b> , page 8, item 31.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.  b) Destroy in office records of state and private grants 5 years after final financial report is filed.*  c) Destroy in office records of other federal grants 3 years after final financial report is filed.  d) Destroy in office records not relating to a specific grant or to grants not funded after 1 year.  <i>Retention Note: According to 2 CFR 200.333(c), records for real property and equipment acquired with Federal funds must be retained for 3 years after disposition of the property/equipment.</i>	Retention: 09 NCAC 03M .0703 2 CFR 200.333
28.	<b>INVESTMENTS</b> Includes fund information, portfolio listings and reports, balance sheets, exchange or consent instructions, broker confirmations, notices, and other documentation related to agency investments. Also includes transaction schedules for projecting revenue on investments as well as performance investment reports issued by broker or investment firm.	a) Destroy in office transaction schedules after 2 years.* b) Destroy in office performance investment reports when reference value ends. c) Destroy in office all remaining records after 3 years.*	Authority: G.S. § 159-30

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<b>LOAN RECORDS</b> Records concerning loans received by the agency. Includes documentation of intent to proceed, loan agreements, promissory notes, letters of credit, statements, notices of principal and interest due, and other related records.	Destroy in office 5 years after satisfaction or cancellation of loan.*	
30.	<b>LOCAL GOVERNMENT COMMISSION FINANCIAL STATEMENTS</b>	Destroy in office after 3 years.*	Authority: G.S. § 159-33
31.	<b>LONGEVITY PAY</b>	Destroy in office after 3 years.*	
32. 	<b>PAYMENT CARD DATA</b> Records created in association with payment card transactions entered by third parties for the purchase of goods or services from the agency.	Destroy in office after processed.*	Confidentiality: G.S. § 132-1.2(2) G.S. § 132-1.10(b)(5)
33. 	<b>PAYROLL AND EARNINGS RECORDS</b> Records containing information such as the name, Social Security number, number of hours worked, compensation rate, deductions, and total wages paid each employee per payroll period. Also includes individual and group employee earnings records and payroll registers showing earnings and deductions for each pay period.  See also <b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> , page 28, item 44.	a) Destroy in office 30 years from date of separation records necessary for retirement or similar benefits verification. b) Destroy in office remaining records after 3 years.*	Authority: 29 CFR 516.30(a)  Confidentiality: G.S. § 132-1.10 G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 516.5(a) 29 CFR 1627.3(a)

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34. 	<b>PAYROLL DEDUCTION RECORDS</b> Records used to start, modify, or stop all voluntary or required deductions from payroll. Includes tax withholding (NC-4, W-4), savings plans, insurance, association dues, orders of garnishment, etc. Used as proof the employee approved of the deduction(s).	a) Destroy in office tax withholding forms 4 years after termination of deduction.* b) Destroy in office authorizations for deductions for retirement contributions, bank payments, savings plans, insurance, and dues 2 years after termination of deduction. c) Destroy in office remaining records 3 years after termination of deduction.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: IRS Publication 15 29 CFR 516.6(c)(1)
35.	<b>POWELL BILL RECORDS</b> Records include certified statements, expenditures reports, information sheets, financial statements submitted to the North Carolina Department of Transportation, and all other related records.	Destroy in office after 3 years.	
36.	<b>PURCHASE ORDERS</b> Records, forms, packing slips, and attached documents concerning purchased supplies, equipment, and services.  See also <b>GRANTS: FINANCIAL</b> , page 24, item 27.	Destroy in office after 3 years.* <i>Retention Note: Packing slips may be destroyed upon verification of items received if they are not the only record of the purchase of the item.</i>	
37.	<b>QUALIFIED PRODUCTS LISTS (QPL)</b> Records identifying products approved for purchase by the agency.	Destroy in office 3 years after superseded or obsolete.*	


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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	<b>REQUISITIONS</b> Requests for payment or to acquire goods or services.  See also <b>INVENTORIES</b> , page 9, item 36.	Destroy in office after 1 year.*	
39.	<b>SCHOLARSHIP RECORDS</b> Records concerning scholarships awarded by the agency. Includes applications, award letters, conditions and stipulations, agreements and contracts, disbursement statements, progress reports, and other related records.	a) Destroy in office after 3 years records documenting the awarding of scholarships.  b) Destroy in office 1 year after notification of applicant records concerning applications that are denied by the agency or awards that are declined by the recipient.	
40.	<b>SHIFT PREMIUM PAY</b> Authorizations and other related records concerning employees receiving shift premium pay.	Destroy in office after 3 years.*	
41.	<b>STATEMENTS OF BACK PAY</b> 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 other order.	Destroy in office 3 years after payment.*	


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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
42. 	<b>TAX FORMS</b> Tax information returns generated by the agency (e.g., 1098, 1099, W-2, W-3) to be reported to the Internal Revenue Service and furnished to the other party to the transaction.	Destroy in office 4 years after submitted to taxpayer and/or IRS.*	Confidentiality: G.S. § 132-1.10 G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: IRS Publication 15
43.	<b>TAX RETURNS</b> Tax returns filed by the agency.	Destroy in office 6 years after filed.*	
44.	<b>TIME SHEETS, CARDS, AND ATTENDANCE RECORDS</b> Records documenting the work hours and attendance of employees.  See also <b>PAYROLL AND EARNINGS RECORDS</b> , page 25, item 33.	Destroy in office after 2 years.*	Retention: 29 CFR 516.6(a)(1)
45.	<b>TRAVEL REIMBURSEMENTS</b> Includes requests and authorizations for reimbursement for travel and related expenses.  See also <b>GRANTS: FINANCIAL</b> , page 24, item 27, and <b>TRAVEL REQUESTS</b> , page 17, item 64.	Destroy in office after 3 years.*	

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ITEM #	STANDARD 2: BUDGET, FISCAL, AND PAYROLL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
46. 	<b>VENDORS</b> Files maintained on specific vendors authorized or debarred from doing business with the agency. Includes name and address, correspondence (including e-mail), and other related records.	Destroy in office when superseded or obsolete.	

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**STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS**

Official records received and created by agency geographic information system programs. See G.S. § 132-10 for information about providing public access to GIS databases.

ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA</b> Geo-referenced data and metadata to facilitate the management, manipulation, analysis, modeling, representation, and spatial analysis of complex problems regarding planning and management of resources.	Retain in office parcel, boundary, zoning, and orthoimagery layers (with accompanying data sets) permanently.  <i>Retention Note: Other datasets should be kept according to standards and procedures set by the North Carolina Geographic Information Coordinating Council (<a href="http://www.ncgicc.com/">http://www.ncgicc.com/</a>).</i> <i>See also GEOSPATIAL RECORDS, page 80.</i>	
2.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)</b> Records created during development or modification of an automated system which are necessary to access, retrieve, manipulate, and interpret data in that system; and records that explain the meaning, purpose, structure, local relationships, and origin of the data elements. Includes data element dictionaries, file layout, codebooks and tables, and definition files.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	
3.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES</b> Includes requirements that are intended to make hardware, software, and data compatible and that cover data capture, accuracy, sources, base categories, output, and data element dictionaries.	Retain in office permanently.	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS</b> Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.	Destroy in office after 1 year.	
5.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS</b> Includes user guides, system flowcharts, job or workflow records, system specifications, and similar documentation.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	
6.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS</b>	a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently.  b) Destroy in office remaining items when reference value ends. <sup>†</sup>  Agency Policy: Destroy in office after <u>3 years</u>	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>LAYERS: ADDRESS POINTS</b>  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	
8.	<b>LAYERS: CORPORATE LIMITS</b>  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>LAYERS: EXTRATERRITORIAL JURISDICTIONS</b>  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	
10.	<b>LAYERS: ORTHOIMAGERY</b>  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Create a snapshot of dataset when created. To maintain permanently,  <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> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>LAYERS: STREET CENTERLINE</b>  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	
12.	<b>MAPPING PROJECT RECORDS</b> Includes contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects.  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>MAPS: PARCEL</b> Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, right-of-ways, and structures.  See also <b>GEOSPATIAL RECORDS</b> , page 80, and <b>PROPERTY MANAGEMENT RECORDS</b> , page 14, item 54.	Paper: Destroy in office upon State Archives approval.  GIS dataset: Create a snapshot of dataset quarterly. To maintain permanently,  <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> .	
14.	<b>MAPS: PARKS</b> Includes park boundaries, facilities, landscaping, topography, and other pertinent information. Also includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems.  See also <b>GEOSPATIAL RECORDS</b> , page 80.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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 permanently, 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> .	

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ITEM #	STANDARD 3: GEOGRAPHIC INFORMATION SYSTEM (GIS) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>MAPS: ALL OTHER</b> Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc.	a) Retain in office maps, including GIS datasets and accompanying documentation (metadata), with historical and/or legal value permanently.  b) Destroy in office remaining items when reference value ends. <sup>†</sup>  Agency Policy: Destroy in office after <u>3 years</u>	


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**STANDARD 4: INFORMATION TECHNOLOGY (IT) RECORDS**


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

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

ITEM #	STANDARD 4: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<b>AUDITS: IT SYSTEMS</b> Records documenting user actions affecting the contents of monitored systems. Also includes fixity checks and other periodic tests of data validity.	a) Destroy in office after 1 year fixity check documentation. b) Destroy in office remaining records after disposition of record.*	Confidentiality: G.S. § 132-6.1(c)
2.	<b>COMPUTER AND NETWORK USAGE RECORDS</b> Records documenting usage of electronic devices and networks. Includes login files, system usage files, individual program usage files, and records of use of the Internet by employees.	Destroy in office after 1 year.	
3.	<b>DATA DOCUMENTATION RECORDS</b> Records concerning 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.	



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ITEM #	STANDARD 4: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>DATA MIGRATION RECORDS</b> Technical records documenting data migrations.  <i>Note: The data itself is subject to the disposition instructions indicated for its relevant records series; these are merely records about migrating said data.</i>	Destroy in office 1 year after completion of data migration.	
5.	<b>DATA WAREHOUSES</b> Federated data gathered by the agency from other sources for the purposes of comparison and distribution.	Destroy in office when superseded or obsolete.	Maintain confidentiality consistent with any restrictions placed on the data provider.
6.	<b>DIGITIZATION AND SCANNING RECORDS</b> Records concerning data entry and imaging operations. Includes quality control records.  See <b>Request for Disposal of Original Records Duplicated by Electronic Means</b> , page 88.	Destroy in office 10 days after digitization.  <i>Note: The digital surrogate becomes the record copy and must be retained according to the disposition instructions for that record type.</i>	
7.	 <b>ELECTRONIC RECORDS POLICIES AND PROCEDURES</b> Includes procedural manuals as well as an Electronic Records and Imaging Policy and a Security Backup Policy.	Destroy in office 3 years after superseded or obsolete.	Confidentiality: G.S. § 132-1.7(b) G.S. § 132-6.1(c)
8.	<b>INFORMATION TECHNOLOGY ASSISTANCE RECORDS</b> Records documenting troubleshooting and problem-solving assistance provided by agency information systems personnel to users of the systems. Includes help desk assistance requests, resolution records, and related documentation.	Destroy in office 1 year after work is completed.	


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ITEM #	STANDARD 4: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9. 	<b>NETWORK AND SYSTEM SECURITY RECORDS</b> Records documenting the security of network and system. Includes records concerning firewalls, anti-virus programs, and intruder scanning logs.	a) Destroy in office finalized cyber incident reports 5 years after resolution. b) Destroy in office after 2 years records documenting incidents involving unauthorized attempted entry or probes on data processing systems, IT systems, telecommunications networks, and electronic security systems. c) Destroy in office after 1 year records concerning firewalls, anti-virus programs, and other related records.	Confidentiality: G.S. § 132-6.1(c)
10. 	<b>NETWORK DIAGRAMS</b> 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)
11.	<b>PROJECT DOCUMENTATION</b> Records created to design, develop, control, or monitor a specific project or group of IT projects. Includes statements of work, assessments, maintenance agreements, and testing records.  See also <b>PROJECTS</b> , page 14, item 53.	a) Retain in office permanently records with historical value. b) Destroy in office remaining records 3 years after completion of project.	

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ITEM #	STANDARD 4: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</b> Records documenting compliance with agency software license and copyright provisions. Includes software licenses, correspondence (including e-mail), and related documentation.	Destroy in office 1 year after software is superseded or obsolete.	
13.	<b>SYSTEM ACCESS RECORDS</b> Records documenting access requests and authorizations, system access logs, and other related records.	Destroy in office 1 year after superseded or obsolete.	
14.	 <b>SYSTEM DOCUMENTATION RECORDS</b> 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)
15.	<b>SYSTEM MAINTENANCE RECORDS: HARDWARE REPAIR OR SERVICE</b> Records documenting inspections, maintenance, and repairs of agency computer systems that are owned or leased. Includes computer equipment inventories and service records.  See also <b>EQUIPMENT AND VEHICLE MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> , page 6, item 24.	a) Destroy in office records documenting routine inspections and maintenance of equipment after 1 year. b) Destroy records documenting all other equipment maintenance and repairs upon the final disposition of the equipment.	

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ITEM #	STANDARD 4: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>SYSTEM MAINTENANCE RECORDS: RECORDS BACKUPS</b> Records documenting regular or essential system backups. Includes backup tape inventories, relevant correspondence (including e-mail), and related documentation.  See Also: <a href="#">Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files</a> , available on the State Archives of North Carolina website.	Destroy in office in accordance with your office's established, regular backup plan and procedures. <sup>†</sup> Agency Policy: Destroy in office after <u>1 year or when obsolete</u>	
17.	<b>TECHNICAL PROGRAM DOCUMENTATION</b> 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.	
18.	<b>VOICE OVER INTERNET PROTOCOL (VoIP) RECORDS</b> Records concerning line registrations, calls logs, and voicemail records.	a) Destroy in office records concerning line registration when superseded or obsolete. b) Destroy in office call logs after 1 year. c) Destroy in office voicemail records after 30 days.	

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ITEM #	STANDARD 4: INFORMATION TECHNOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b> 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.  See also <b>WEBSITE (ELECTRONIC)</b> , page 70, item 15.	Destroy in office when superseded or obsolete.	

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**STANDARD 5: LEGAL RECORDS**

Official documentation created or accumulated to substantiate the rights, obligations, or interests of the agency or their individual employees or clients. Please note the confidentiality that G.S. § 132-1.1(a) confers to communications by legal counsel expires three years after receipt of such communication.

ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AFFIDAVITS OF PUBLICATION</b> Proof of publication provided by newspapers regarding publication of ordinances, public hearings, bid solicitations, payment of bills, public sales, etc.  See also <b>NOTICES OF PUBLIC MEETINGS</b> , page 12, item 45.	a) Retain in office permanently if record provides sole evidence of publication.  b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 1-600
2.	<b>ANNEXATION RECORDS</b> Records concerning annexation of property into the city. Includes petitions, reports, correspondence, including email, maps, ordinances, and public hearings.	Retain in office permanently.  <i>Retention Note: Annexation maps and ordinances must be filed with the County Register of Deeds office. G.S. §160A-29, G.S. §160A-58.61 and G.S. §160A-58.90.</i>	
3.	<b>AUTHENTICATIONS</b> Certificates of authentication issued by the agency.	Retain in office permanently.	

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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>CIVIL RIGHTS CASE RECORDS</b> Records concerning discrimination complaints by employees or former employees and requests for reasonable accommodation. Includes equal opportunity (EO) complaints.  See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Destroy in office 1 year after final disposition of the charge or the action.*  <i>Retention Note: 29 CFR 1602.14 defines final disposition of the charge or the action as "the date of expiration of the statutory period within which the aggrieved person may bring an action in a U.S. District Court or, where an action is brought against an employer either by the aggrieved person, the Commission, or by the Attorney General, the date on which such litigation is terminated."</i>	Retention: 29 CFR 1602.14 29 CFR 1602.31
5.	<b>CIVIL RIGHTS RECORDS</b> Records concerning documentation of personnel 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), Section 504 of the 1973 Rehabilitation Act, and the 1964 Civil Rights Act. Includes reports required by the Equal Employment Opportunity (EEO) Commission and affirmative action plans.  See also <b>CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b> , page 4, item 17, <b>CIVIL RIGHTS CASE RECORDS</b> , page 44, item 4, and <b>POLICIES AND PROCEDURES (PERSONNEL)</b> , page 62, item 31.	Destroy in office 3 years after superseded or obsolete.	Authority: 29 CFR 1602.1 29 CFR 1602.7 29 CFR 1608.4  Retention: 29 CFR 1602.30 29 CFR 1602.32


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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>CONDEMNATION RECORDS</b> Settled and pending condemnation cases.  See also <b>ACCOUNTS PAYABLE</b> , page 18, item 1 for disposition of financial records.	Retain in office permanently.	
7.	<b>CONFLICT OF INTEREST AND CONFLICT OF COMMITMENT DISCLOSURE STATEMENTS</b> Completed by the elected agency officials as well as designated staff members in order to disclose an official's status or ownership interests.	Destroy in office 1 year after completion of term or separation.	
8.	<b>CONTRACTS, LEASES, AND AGREEMENTS</b> Contracts and agreements for construction, equipment, property, supplies, special programs, and projects. Includes franchise agreements, hold harmless agreements, good faith effort documentation, contractor compliance monitoring, leases, and memoranda of understanding.  See also <b>SOFTWARE LICENSE AND COPYRIGHT PROVISIONS RECORDS</b> , page 40, item 12.	a) Retain in office contracts and agreements with historical value permanently. b) Destroy in office sealed contract records 10 years after expiration of contract.* c) Destroy in office capital improvement contracts and business associate agreements 6 years after completion, termination, or expiration.* d) Destroy in office records documenting restrictions and compliance with license and copyright provisions for products and services purchased by the agency 1 year after superseded or obsolete.* e) Destroy in office all other contracts and agreements 3 years after completion, termination, or expiration.*	Retention: G.S. § 1-47(2) G.S. § 1-50(a)(5) 45 CFR 164.316 G.S. § 1-52



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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>DECLARATORY RULINGS</b> Records concerning declaratory rulings issued by the agency to interpret statutes or rules as applied to a specified set of facts.	Retain in office permanently.	
10.	<b>DELEGATION OF AUTHORITY RECORDS</b> Records documenting delegations of power to authorize agency business. Includes signature authorities and powers of attorney.	Destroy in office 1 year after superseded or obsolete.	
11.	<b>EASEMENTS AND RIGHT-OF-WAY AGREEMENTS</b> Granted to the agency.  See also <b>ACCOUNTS PAYABLE</b> , page 18, item 1 for disposition of financial records.	Destroy in office 10 years after expiration of agreement.	
12.	<b>ENCROACHMENTS</b> Records concerning agreements granted by or to the agency. Also includes maps or drawings detailing construction plans attached to agreements.	a) Retain in office permanently records concerning agreements granted by outside entities to the agency. b) Destroy in office when superseded or obsolete records concerning agreements granted to utilities, businesses, and private citizens to encroach upon agency property.	
13.	<b>LAND OWNERSHIP RECORDS</b> Includes deeds and titles.	Destroy in office 1 year after agency relinquishes ownership of land.*	
14. 	<b>LEGAL CORRESPONDENCE</b> Correspondence (including e-mail) and related records concerning legal matters not related to specific legal cases or official opinions.	Destroy in office after 5 years. For information on handling e-mail, see <b>ELECTRONIC RECORDS</b> , page 78.	Confidentiality: G.S. § 132-1.1(a)

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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>LEGAL OPINIONS</b> Formal legal opinions written by counsel in response to requests concerning the governance and administration of the agency.	Retain in office permanently.	
16.	 <b>LEGAL REVIEW RECORDS</b> Includes legal reviews of by-laws and charges to boards and commissions, conflicts of interest, and all other agency matters as requested.  See also <b>LEGAL OPINIONS</b> , page 47, item 15.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records after expiration of relevant statute of limitations.	Confidentiality: G.S. § 132-1.1(a)
17.	 <b>LITIGATION CASE RECORDS</b> Civil suits to which the agency is a party. Includes affidavits, agreements, appeals, bills, briefs, citations, commitments, complaints, discharges, motions, notices, pleas, releases, statements, testimony, verdicts, waivers, warrants, and writs.	a) Retain in office cases having precedential or historical value permanently. b) Destroy in office adjudicated cases 6 years after final disposition. c) Destroy in office non-adjudicated cases (out-of-court claims) 6 years after final disposition or expiration of relevant statute of limitations.	Confidentiality: G.S. § 132-1.1(a) G.S. § 132-1.9
18.	<b>OATHS OF OFFICE</b>  See also <b>GOVERNING AND ADVISORY BODY MEMBER FILES</b> , page 7, item 29.	Transfer official copy of oath of office to the Clerk to the Board.  <i>Retention Note: The Clerk to the Board should present a copy of the oaths of elected officials to the Clerk of Superior Court for recording. The Clerk to the Board maintains the original oaths.</i>	Authority: G.S. § 153A-26  Retention: G.S. § 7A-103(2)

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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<b>PERMISSIONS</b> Records conferring legal permission. Includes copyright permission requests and requests for permission to publish intellectual property or holdings of the agency. Also includes copyrights, patents, and trademarks held by the agency.	a) Retain in office permanently records conferring perpetual legal permission as well as records documenting copyrights, patents, and trademarks held by the agency. b) Destroy in office 3 years after expiration records concerning one-time copyright permissions granted by the agency.	
20.	<b>PRE-TRIAL RELEASE PROGRAM RECORDS</b> Records documenting supervision for defendants who do not pose a risk to the community as they await trial.	Destroy in office 3 years after trial.	
21.	<b>REASONABLE ACCOMMODATIONS</b> Records concerning agency efforts to provide reasonable accommodations to the general public under Title II of the Americans with Disabilities Act, Housing and Urban Development Act, 1973 Rehabilitation Act, and Title VII of the Civil Rights Act of 1964. Includes constituent requests, survey of agency buildings to determine accessibility to the physically handicapped, proposals for implementation, and resolutions.  See also <b>CITIZEN COMMENTS, COMPLAINTS, PETITIONS, AND SERVICE REQUESTS</b> , page 4, item 17, and <b>CIVIL RIGHTS CASE RECORDS</b> , page 44, item 4.	Destroy in office after 2 years.*	Authority: 42 USC 12132

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ITEM #	STANDARD 5: LEGAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>RELEASE FORMS</b> Records documenting consent and waiving the individual's right to hold the agency responsible for injuries or damages occurring while voluntarily participating in events or activities.	Destroy in office 5 years after termination of release/waiver.	
23.	<b>VEHICLE TITLES</b> Titles of agency owned vehicles.	Dispose of in accordance with Division of Motor Vehicles procedures for title transfer upon disposition of vehicle.	Authority: G.S. § 20-72


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**STANDARD 6: PERSONNEL RECORDS**

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of agency employees. Comply with applicable provisions of G.S. § 115C Article 21A (LEAs), G.S. § 122C-158 (area authorities), G.S. § 130A-45.9 (public health authorities), G.S. § 153A-98 (county), G.S. § 160A-168 (municipal), G.S. § 161E-257.2 (public hospitals), and G.S. § 162A-6.1 (water and sewer authorities) regarding confidentiality of personnel records.

ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABOLISHED POSITIONS</b>	Destroy in office after 1 year.	
2.	 <b>ADMINISTRATIVE INVESTIGATIONS</b> Records concerning the investigation of conduct problems among agency personnel.  See also <b>DISCIPLINARY ACTIONS</b> , page 54, item 12.	a) Destroy in office after 3 years records concerning complaints against agency personnel that are resolved without an internal investigation.  b) Destroy in office after 5 years records concerning complaints lodged against agency personnel that are exonerated. Destroy in office 5 years after final disposition or expiration of relevant statute of limitations complaints lodged against agency personnel that are settled out-of-court.  c) Transfer investigation reports, disciplinary actions, and other related internal affairs case records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	<b>APPLICATIONS FOR EMPLOYMENT</b> Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. Includes applications, transcripts, resumes, letters of reference, and other related records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. b) Destroy in office after 2 years unsolicited application materials from individuals hired. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy in office 2 years after receipt unsolicited applications/resumes and those received after posted closing dates.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 1602.31
4.	<b>APPRENTICESHIP PROGRAM RECORDS</b> Records concerning registered apprenticeship programs. Includes applications and selection materials as well as aggregated data. Also includes apprenticeship affirmative action plans.	Destroy in office 5 years after the making of the record or the personnel action involved, whichever occurs later.	Authority: 29 CFR 30.4(a) 29 CFR 1602.20  Retention: 29 CFR 30.12(d) 29 CFR 1602.21


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5. 	<b>APTITUDE AND SKILLS TESTING RECORDS</b> Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. Includes civil service examinations.  See also <b>EMPLOYMENT SELECTION RECORDS</b> , page 56, item 17.	Destroy in office after 2 years.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)(iv)
6.	<b>ASBESTOS TRAINING</b> Records concerning training programs about the proper management of asbestos.  See also <b>BLOODBORNE PATHOGEN TRAINING</b> , page 53, item 8, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b> , page 58, item 21.	a) Destroy in office employee-specific records 1 year after separation.  b) Destroy in office remaining records when superseded or obsolete.	Retention: 29 CFR 1910.1001(m)(4)
7.	<b>BENEFITS RECORDS</b> Records concerning life, health, accident, and disability insurance plans as well as seniority and merit systems. Includes records concerning systems in which employees can select fringe benefits from a cafeteria plan, including flexible spending plans. File also includes notifications, election and claim forms, rejection letters, and other records related to COBRA (Consolidated Omnibus Budget Reconciliation Act).	a) Destroy in office approved claims forms after 2 years.* b) Destroy in office rejected requests 6 months after decision. c) Destroy in office notifications to employees or dependents informing them of their rights to continue insurance coverage after termination or during disability or family leave 3 years after employee returns or eligibility expires. d) Destroy in office remaining records 1 year after plan is terminated.	Retention: 29 CFR 1627.3(b)(2)

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>BLOODBORNE PATHOGEN TRAINING</b> Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.  See also <b>ASBESTOS TRAINING</b> , page 52, item 6, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b> , page 58, item 21.	Destroy in office after 3 years.	Retention: 29 CFR 1910.1030(h)(2)(ii)
9.	 <b>CERTIFICATION AND QUALIFICATION RECORDS</b> Records concerning certification or qualification as required for employment, continued employment, or promotion.  See also <b>APPLICATIONS FOR EMPLOYMENT</b> , page 51, item 3.	a) Destroy in office certificates 5 years after date of separation.  b) Destroy in office instructional materials, assessments, and other related records when superseded or obsolete.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 1602.31
10.	<b>DIRECTORIES, ROSTERS, OR INDICES</b> Includes records listing employees, their job titles, work locations, phone numbers, e-mail addresses, and similar information.	Destroy in office when superseded or obsolete.	




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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DISABILITY SALARY CONTINUATION CLAIMS</b> Forms used by disabled employees to apply for salary continuation benefits. Also include short-term disability claims forms and other related records.	a) Transfer original forms to Local Government Employees' Retirement System (LGERS) or Teachers' and State Employees' Retirement System (TSERS) for action when received. b) Destroy in office remaining records after 3 years.	
12.	<b>DISCIPLINARY ACTIONS</b> Correspondence (including e-mail) and other records concerning disciplinary actions taken against employees by personnel or supervisory staff, including records documenting terminations. Includes records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. b) Destroy in office all remaining records 2 years after resolution of all actions.	Authority: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 1602.31  Subject to the public information provision delineated in the above authorities.
13.	<b>DUAL EMPLOYMENT</b> Records concerning employees' requests and authorizations to accept employment with another local government agency.	a) Destroy in office approved requests and related records 1 year after employee terminates additional employment. b) Destroy in office denied requests and related records after 6 months.	



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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14. 	<b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> Includes records requesting educational leave and tuition assistance, reimbursements, and other related records.  See also <b>LEAVE RECORDS</b> , page 58, item 24.	a) Transfer records documenting approved leave requests to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29. b) Destroy in office records concerning denied requests 6 months after denial.* Destroy in office records concerning approved tuition reimbursements 3 years after reimbursement.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
15. 	<b>ELIGIBILITY RECORDS</b> Includes the I-9 forms, employment authorization documents filed with the U.S. Department of Labor, petitions filed by the agency, E-Verify documentation, and Selective Service Registration compliance forms.	a) I-9 forms have mandatory retention throughout the duration of an individual's employment. After separation, destroy records in office 3 years from date of hire or 1 year from separation, whichever occurs later. b) Destroy in office after 5 years employment authorization documents filed with the U.S. Department of Labor. c) Destroy in office immigrant or nonimmigrant petitions filed by the agency 3 years after employee separation. d) Destroy in office remaining records 1 year after employee separation.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 8 USC 1324a(b)(3)
16. 	<b>EMPLOYEE ASSISTANCE PROGRAMS</b> Records documenting assistance and counseling opportunities. Includes requests for information, referrals, forms, releases, correspondence, and other related records.	Destroy in office after 3 years.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1



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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17. 	<b>EMPLOYMENT SELECTION RECORDS</b> Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. Includes interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, and similar records.  See also <b>APPLICATIONS FOR EMPLOYMENT</b> , page 51, item 3, and <b>APTITUDE AND SKILLS TESTING RECORDS</b> , page 52, item 5.	a) Destroy in office background and criminal history checks after 5 years.  b) Destroy in office remaining records 2 years after hiring decision.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 1602.31 29 CFR 1627.3(b)(1)
18. 	<b>EXIT INTERVIEW RECORDS</b> Includes feedback from employees planning to separate from the agency.	Destroy in office after 1 year.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19. 	<b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b> Records concerning leave taken, premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over FMLA, and other related records.  See also <b>LEAVE RECORDS</b> , page 58, item 24.	Destroy in office 3 years after leave ends.*	Authority: 29 CFR 825.110  Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 825.500(b)
20. 	<b>GRIEVANCES</b> Includes initial complaint by employee, investigation, action, summary, and disposition.  See also <b>DISCIPLINARY ACTIONS</b> , page 54, item 12, and <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Destroy in office after 2 years.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<b>HAZARDOUS MATERIALS TRAINING RECORDS</b> Includes records showing date of training, sessions, contents or summaries of sessions, names of employees attending, and names and qualifications of instructors.  See also <b>ASBESTOS TRAINING</b> , page 52, item 6, and <b>BLOODBORNE PATHOGEN TRAINING</b> , page 53, item 8.	Destroy in office after 5 years.	Authority: 29 CFR 1910.120(p)(8)(iii) 10A NCAC 15
22.	<b>INTERNSHIP PROGRAM</b> Records concerning interns and students who work for the agency.	Destroy in office after 2 years.	
23.	<b>LAW ENFORCEMENT TRAINING</b> Records concerning internal training for law enforcement personnel.	Retain in office permanently.	
24. 	<b>LEAVE RECORDS</b> Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, etc. Also includes records documenting leave without pay.  See also <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> , page 55, item 14, <b>FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS</b> , page 57, item 19, and <b>MILITARY LEAVE</b> , page 59, item 26.	a) Destroy in office denied requests after 6 months. b) Destroy in office approved requests 3 years after return of employee or termination of employment.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	 <b>MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and bloodborne pathogen exposure; medical examinations required by state or federal law; and records of injury or illness. (Does not include worker's compensation or health insurance claim records.)	a) Destroy in office exposure records 30 years after date of exposure.* b) Destroy in office records pertaining to first-aid job-related illness and injury after 5 years. c) Provide medical records to employees who have worked for less than 1 year at time of separation. d) Destroy in office after 1 year records concerning physical examinations or health certificates. e) Destroy in office remaining records 30 years after employee separation.  <i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a worker's compensation claim, follow disposition for <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b>, page 66, item 50.</i>	Authority: 29 CFR 1910.1020(e)  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) 42 USC 12112(d)(3)
26.	<b>MILITARY LEAVE</b> Records concerning military leave, as established by the Uniformed Services Employment and Reemployment Rights Act (USERRA).  See also <b>LEAVE RECORDS</b> , page 58, item 24.	Destroy in office 3 years after leave ends or employee separates from agency.*	Authority: 5 CFR 1208



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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
27. 	<b>PERFORMANCE REVIEWS</b> Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.  See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Destroy in office after 3 years.	Confidentiality (applies only to performance evaluations): G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
28.	<b>PERSONNEL ACTION NOTICES</b> Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, and position or job title.	Transfer records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Subject to the public information provision delineated in relevant General Statutes.


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29. 	<b>PERSONNEL RECORDS (OFFICIAL COPY)</b> Official copy of personnel file maintained on each permanent and temporary agency employee. Includes basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.  Note: For agencies responsible for maintaining personnel files for criminal justice officers, please consult 12 NCAC 09C .0307 for the mandatory records of certification that must be housed in the personnel file.  See also <b>MEDICAL RECORDS</b> , page 59, item 25.	a) Destroy in office after 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that agency; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that agency; date and general description of the reasons for each promotion with that agency; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the agency; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the agency setting forth the specific acts or omissions that are the basis of the dismissal.  b) Destroy in office information necessary to verify benefits 30 years after date of separation.  c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.	Authority/ Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
30. 	<b>PERSONNEL RECORDS (SUPERVISOR COPY)</b> Personnel jacket that is often maintained by supervisors.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.  b) Destroy in office remaining records when reference value ends. <sup>†</sup>  Agency Policy: Destroy in office after <u>immediately</u> after transfer	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	<b>POLICIES AND PROCEDURES (PERSONNEL)</b>	a) Retain in office internal agency personnel policies and procedures permanently. b) Destroy in office remaining records when superseded or obsolete.	
32.	 <b>POLYGRAPH RECORDS</b> 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 agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1  Retention: 29 CFR 801.30
33.	<b>POSITION CLASSIFICATION, CONTROL, AND HISTORY</b> Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics. Also includes listings providing classification, titles, and position numbers.  See also <b>POSITION DESCRIPTIONS</b> , page 62, item 34.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
34.	<b>POSITION DESCRIPTIONS</b> Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years after superseded.	Retention: 29 CFR 1620.32

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<b>POSITION EVALUATIONS</b> Forms used to evaluate the primary purpose of a position.	Destroy in office after 1 year.	
36.	<b>RECRUITMENT RECORDS</b> Includes ads and notices of overtime, promotion, and training. Also includes employment listings.	Destroy in office 1 year from date of record.	Retention: 29 CFR 1627.3(b)
37.	<b>RETIREMENT RECORDS</b> Includes plans and related records outlining the terms of employee pension and other deferred compensation plans.	a) Destroy in office records documenting deferred compensation 3 years after payment.* b) Destroy in office descriptive information about retirements plans 1 year after plan is terminated. c) Destroy in office records concerning employer-sponsored retirement plans 7 years after payment.* d) Transfer Local Governmental Employees' Retirement System (LGERS) forms to Department of State Treasurer. e) Transfer applicable records to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Retention: 29 CFR 1627.3(b)(2)
38. 	<b>SEASONAL AND CONTRACT WORKER RECORDS</b> Records concerning seasonal or contractual employees who are not provided with or eligible for benefits.	Destroy in office 5 years after date of separation.	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1


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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	<b>SECONDARY EMPLOYMENT</b> Records concerning employees' requests and authorizations to accept employment with a private entity.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment. b) Destroy in office denied requests and related records after 6 months.	
40.	<b>SERVICE AWARDS AND COMMENDATIONS</b> Includes award and selection committee reports, nominations, selection criteria, and similar administrative records relating to employee recognition or incentive programs.  See also <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29.	Destroy in office 2 years from date of record creation or the personnel action involved.	
41.	<b>SUGGESTIONS AND SURVEYS</b> Recommendations and feedback submitted by agency employees.	Destroy in office after 1 year.	
42.	<b>TRAINING AND EDUCATIONAL RECORDS</b> Includes employee-specific records (certificates, transcripts, test scores, etc.) relating to the training, testing, or continuing education of employees.  See also <b>CONFERENCES AND WORKSHOPS</b> , page 68, item 4, and <b>EDUCATIONAL LEAVE AND REIMBURSEMENT</b> , page 55, item 14. Other required trainings are handled in <b>ASBESTOS TRAINING</b> , page 52, item 6, <b>BLOODBORNE PATHOGEN TRAINING</b> , page 53, item 8, and <b>HAZARDOUS MATERIALS TRAINING RECORDS</b> , page 58, item 21.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 61, item 29, if such training and testing is required for the position held or could affect career advancement. b) Destroy in office remaining records after 1 year.	Retention: 29 CFR 1627.3(b)(1)(iv)

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43. 	<b>UNEMPLOYMENT COMPENSATION CLAIMS</b> Claim forms and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	Confidentiality: G.S. § 115C Art. 21A G.S. § 122C-158 G.S. § 130A-45.9 G.S. § 153A-98 G.S. § 160-168 G.S. § 161E-257.2 G.S. § 162A-6.1
44.	<b>UNEMPLOYMENT COMPENSATION REPORTS</b> Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with NC Division of Employment Security.	Destroy in office after 3 years.*	
45.	<b>UNEMPLOYMENT INSURANCE</b> Forms submitted to the Department of Commerce to report wage records of terminated employees.	Transfer to the N.C. Department of Commerce, Division of Employment Security.	
46.	<b>VERIFICATION OF EMPLOYMENT RECORDS</b> Inquiries and responses concerning verification of an employee's prior or current employment with the agency.	Destroy in office after 1 year.	
47.	<b>VOLUNTEER RECORDS</b> Records concerning individuals who volunteer to assist with various agency activities.	Destroy in office 2 years after completion of assignment.	
48.	<b>WORK SCHEDULES AND ASSIGNMENTS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office after 1 year.	

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ITEM #	STANDARD 6: PERSONNEL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
49.	<b>WORKERS' COMPENSATION PROGRAM ADMINISTRATION</b> Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
50.	 <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b> Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. Includes Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, claim cost reports, reference copies of medical invoices, and other related records. <i>Note: All official copies of claims records should be transferred to the North Carolina Industrial Commission in compliance with G.S. § 97-92(a).</i>	Destroy in office agency's working file for workers' compensation claims by its employees 5 years after employee returns to work or separates from agency.	Confidentiality: G.S. § 8-53 G.S. § 97-92(b)

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**STANDARD 7: PUBLIC RELATIONS RECORDS**

Official records and materials created and accumulated by internal public relations programs operated by the agency.

ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AGENCY PUBLICATIONS</b> Publications created at agency expense. Also includes correspondence and other related records regarding the design and creation of agency publications.	a) Retain in office records with historical value permanently. b) Destroy publications management records after 5 years. c) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u>5 years</u>	
2.	<b>AUDIO-VISUAL RECORDINGS</b> Recordings (including digital) and films produced by the agency. This does not include recordings of public meetings or security videos.  See also <b>AUDIO AND VIDEO RECORDINGS OF MEETINGS</b> , page 2, item 7, and <b>OFFICE SECURITY RECORDS</b> , page 12, item 46.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u>3 years</u>	
3.	<b>COMMUNITY AWARDS</b> Records concerning awards by the agency recognizing community contributions.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u>3 years</u>	

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>CONFERENCES AND WORKSHOPS</b> Records concerning conferences and workshops conducted by agency employees. Includes slides, charts, transparencies, handouts, and other related records used in presentations.  See also <b>TRAINING AND EDUCATIONAL RECORDS</b> , page 64, item 42.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
5.	<b>EDUCATIONAL MATERIALS</b> Materials produced for usage by teachers or tour groups. Includes lesson plans, activities, and other related records.	Destroy in office when superseded or obsolete.	
6.	<b>FUND DRIVE AND EVENT RECORDS</b> Records documenting the promotion and organization of fund drives and other special events in which the agency participated. Includes records concerning solicitations requesting and donations providing money or in-kind donations for agency programs. Also includes invitations, registration materials, agendas, handouts, presentations, and programs.  See also <b>DONATIONS AND SOLICITATIONS</b> , page 22, item 21.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
7.	<b>INVITATIONS</b> Invitations sent and received concerning agency and external functions.	Destroy in office after event occurs.	

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ITEM #	STANDARD 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>MEDIA FILE</b> Reference copies of newspaper, magazine, and other media clippings concerning the agency, agency officials, and other topics of interest.	Destroy in office when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>3 years</u>	
9.	<b>POPULAR ANNUAL FINANCE REPORT</b> Comprehensive annual financial report (CAFR)	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	
10.	<b>PUBLIC HEARINGS</b> Includes agendas, minutes, notices, speaker sign-up sheets, and similar documentation.	a) Retain in office minutes permanently. b) Destroy in office remaining records after 1 year.	
11.	<b>PUBLIC RECORDS REQUESTS</b> Formal requests submitted by persons seeking access to agency records along with documentation of agency response.	Destroy in office 2 years after resolution.*  <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. 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>	
12.	<b>PUBLICITY RECORDS</b> Records concerning overall public relations of agency. Includes advertisements, announcements, correspondence (including e-mail), photographic materials, news and press releases, and other related records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.*	

\* 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.

<sup>†</sup> 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 7: PUBLIC RELATIONS RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>SOCIAL MEDIA</b>	See <b>APPENDIX</b> (page 79) for guidance in handling social media.	
14.	<b>SPEECHES</b> Speeches made by agency officials.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>3 years</u>	
15.	<b>WEBSITE (ELECTRONIC)</b> Records created and maintained in paper and electronic formats concerning the creation and maintenance of the agency's presence on the World Wide Web. Includes correspondence (including e-mail), procedures, instructions, website designs, HTML/XHTML, or other web-based file formats, and other related records.  See also <b>WEB MANAGEMENT AND OPERATIONS RECORDS: STRUCTURE</b> , page 42, item 19.	a) Capture website annually or whenever a major revision in design and/or content has taken place, whichever occurs first. Retain captured content in office permanently. Can be maintained as website snapshots or via Web crawler. b) Destroy in office remaining records when superseded or obsolete.	

\* 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.

<sup>†</sup> 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 8: RISK MANAGEMENT RECORDS**

Official records created and accumulated to manage risks in the agency.

ITEM #	STANDARD 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</b>  See also <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b> , page 66, item 50.	a) Transfer records resulting in workers' compensation to <b>WORKERS' COMPENSATION PROGRAM CLAIMS</b> , page 66, item 50. b) Destroy in office remaining employee claims 3 years after settlement or denial of claim.* c) Destroy in office adult non-employee reports 3 years after settlement or denial of claim.* d) Destroy in office reports that do not result in claims or official action after 3 years. e) Destroy in office reports of minors after minor has reached age of 21.	
2.	<b>ASBESTOS MANAGEMENT PLAN</b>	a) Destroy in office 1 year after building is demolished. b) If building is sold, transfer records to new owner.	Retention: 29 CFR 1910.1001(j)(3)(ii)
3.	<b>DECLARATIONS AND TERMINATIONS OF STATES OF EMERGENCY</b>	Retain in office permanently.	Authority: G.S. § 166A-19.22

\* 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 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4. 	<b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes background surveys, studies, reports, and records concerning the process of notifying personnel in the event of an emergency. Also includes Continuity of Operations Plans (COOP) and Business Continuity Plans (BCP).	Destroy in office when superseded or obsolete.	Confidentiality: G.S. § 132-1.7
5.	<b>DISASTER RECOVERY</b> Administrative records documenting recovery efforts.	a) Retain in office permanently records documenting major agency disaster recovery efforts b) Destroy in office after 3 years records concerning minor or routine agency recovery operations that are managed with minimal disruption to normal operations.	
6.	<b>EMERGENCY DRILLS AND EQUIPMENT RECORDS</b> Includes test records for fire suppression, defibrillator, respirator fit, and other emergency equipment. Also includes records concerning agency emergency and fire drills.	Destroy in office when superseded or obsolete.	
7.	<b>EMPLOYEE SECURITY RECORDS</b> Records concerning the issuance of keys, identification cards, parking assignments, passes, etc., to employees.	Destroy in office when superseded or obsolete.	
8.	<b>FIRE, HEALTH, AND SAFETY RECORDS</b> Records concerning agency safety measures. Includes reports, logs, and other related records documenting inspections of agency facilities.	Destroy in office when superseded or obsolete.	

\* 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 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>FUEL OIL STORAGE TANK RECORDS</b>	Destroy in office closure records 3 years after completion of permanent closure.	Authority: 40 CFR 280.34  Retention: 40 CFR 280.74
10.	<b>HAZARDOUS MATERIALS MANAGEMENT</b> Records related to hazardous materials and hazard mitigation plans.	a) Destroy in office after 30 years records related to hazardous materials, including biowaste. b) Destroy in office after 5 years records concerning the receipt, maintenance, and disposal of radioactive materials. c) Destroy in office 3 years after superseded or obsolete records concerning hazard mitigation plans.	
11.	<b>INSURANCE POLICIES</b> Records concerning automobile, theft, fire, and all other insurance policies purchased by agency. Also includes insurance audits, claims reports, surveys, endorsements, certificates of insurance, and waivers.	a) Destroy in office records concerning automobile and other liability insurance policies 10 years after superseded or obsolete.* b) Destroy in office certificates of insurance after 1 year. c) Destroy in office self-insurer certifications 6 years from date of termination of policy or settlement of all claims. d) Destroy in office remaining records after 1 year after superseded or obsolete.	
12.	<b>LOSS CONTROL INSPECTION REPORTS</b> Self-inspections to identify potential liabilities or hazards that may exist in agency owned buildings or property.	Destroy in office when superseded or obsolete.	

\* 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 8: RISK MANAGEMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>LOST, STOLEN, OR DAMAGED PROPERTY REPORTS</b> Includes citizen reports of property lost or stolen at agency. Also includes reports and employee narratives of vandalism to agency property.	Destroy in office after 2 years.*	
14.	<b>OCCUPATIONAL SAFETY AND HEALTH ADMINISTRATION (OSHA)</b> 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
15.	<b>SAFETY DATA SHEETS</b> Forms supplied to agencies from manufacturers and distributors of hazardous materials for materials held by the agency.	Destroy in office 30 years after materials have been disposed of according to manufacturer's instructions.  <i>Retention 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>	Retention: 29 CFR 1910.1020(d)(1)(ii)(B)

\* 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: WORKFORCE DEVELOPMENT RECORDS**

Official records created and accumulated by the agency to manage workforce development programs. Relevant legislation includes the Comprehensive Employment and Training Act, the Job Training and Partnership Act, the Workforce Investment Act, and the Workforce Innovation and Opportunity Act.

ITEM #	STANDARD 9: WORKFORCE DEVELOPMENT RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AUDIT/AUDIT RESOLUTIONS</b> Records concerning reports from financial and compliance audits conducted on WIA programs in accordance with OMB Circular A-133. Includes audit reports and correspondence concerning audits and audit resolutions for the local area. Also includes federal and state audits.	Destroy in office after 3 years.	Authority: OMB Circular A-133 29 CFR 97.26
2.	<b>LOCAL AREA JOB TRAINING PLAN RECORDS</b> Records concerning the local board's bid process for contracting workforce development programs.	Destroy in office when superseded or obsolete.	Authority: 20 CFR 652.8
3.	<b>PARTICIPANT RECORDS</b> Records concerning applicants, registrants, eligible applicants/registrants, participants, terminees, and employees who submit requests for services of the Dislocated Workers Program and Workforce Investment Act programs. Includes applications, client history, Employability Development Plans, program referral, monitoring notes, pay authorizations, release forms, and WIA follow-up questionnaires.	Destroy in office 3 years after close of audit/final year expenditure.*	Authority: 20 CFR 652.8

\* 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.

## 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.

---

### ***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 87) 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.

---

### ***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. See a sample destructions log that follows (and is available online at the State Archives of North Carolina website, <https://archives.ncdcr.gov/government/forms-government>).



## Destructions Log

<b>Agency</b>					
<b>Division</b>		<b>Section</b>		<b>Branch</b>	
<b>Location(s) of Records</b>					

[illegible]

## 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.

---

### ***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.

---

### ***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 (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-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 Natural and Cultural Resources.

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

**Non-permanent records** may be retained in any format. 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.

---

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

- A.** There are numerous documents available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>). Topics covered include shared storage, cloud computing, e-discovery, 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 e-mail, text messages, and social media 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, 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 58, 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.

---

### ***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.

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### ***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.

Alternately, 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.

---

***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

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### ***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) 814-6849 for the Head of the Collections Management Branch. 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
- Digital communications

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### ***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.

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### ***Q. Are workshops offered only 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.

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

**A.** Not at this time.

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### ***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, electronic records, and scanning.



## Request for Change in Local Government Records Schedule

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.

### AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

### CHANGE REQUESTED

Specify title and 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:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



## Request for Disposal of Unscheduled Records

### AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

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 administrative, fiscal, historical, or legal purposes.

RECORDS TITLE AND DESCRIPTION	INCLUSIVE DATES	QUANTITY	RELEVANT STATUTORY REGULATIONS	PROPOSED RETENTION PERIOD

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

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 that 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 that 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>		

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

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date



## File Plan

<b>Agency</b>					
<b>Division</b>		<b>Section</b>		<b>Branch</b>	

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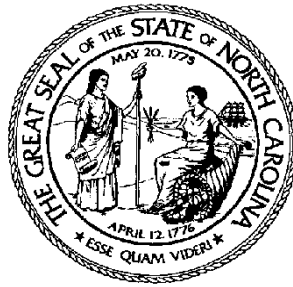
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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY SHERIFF'S OFFICE



Issued By:



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

November 15, 2015

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## County Sheriff's Office Records Retention and Disposition Schedule

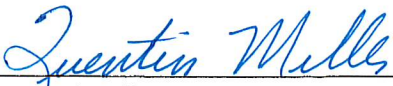
The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use 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.**

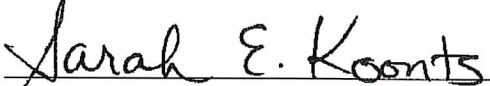
This local government agency and the Department of Natural and Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods that allow these records to be destroyed 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.

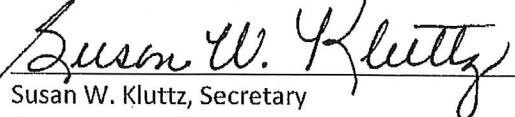
### APPROVAL RECOMMENDED

  
\_\_\_\_\_  
County Sheriff

  
\_\_\_\_\_  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Chairman, Bd. County Commissioners

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

County: \_\_\_\_\_

## 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 local government agencies 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.
- 

### ***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.
- 

### ***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.
- 

### ***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 from 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 county 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. Who can I call with questions?***

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

## AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION

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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 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 16, 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 8: PROGRAM OPERATIONAL RECORDS – SHERIFF RECORDS**

Records received and created by a county sheriff department necessary to meet all statutory requirements. Comply with applicable provisions of G.S. §132-1.4 regarding confidentiality of law enforcement records and G.S. §153A-98 and G.S. §160A-168 regarding confidentiality of personal information of law enforcement officers.

ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCREDITATION RECORDS</b> Records concerning compliance with those standards outlined by professional law enforcement agencies' accreditation programs.	Destroy in office 1 year after accreditation is obtained, renewed, or no longer valid.*	
2.	<b>ACTIVITY REPORTS</b> Reports of officer activities on each shift or special detail worked, including activities of the Domestic Violence Unit. Includes information on occurrence of all criminal activity, complaints, arrests, traffic violations and accidents, rescue service calls, hours worked, miles traveled, location of call, type of call, time of call, papers served, and other related information. (This information is often collected by the day and month for statistical reporting and includes reports submitted to Uniform Crime Reporting Program.)  See also <b>REPORTS AND STUDIES</b> , page 13, item 52.	a) Retain in office 1 copy of all annual and biennial reports permanently. b) Retain in office reports and studies prepared by request of an agency's governing body or a court permanently. c) Destroy in office reports prepared monthly, bimonthly, or semi-annually after 3 years. d) Destroy in office activity reports concerning workload measurements, time studies, number of jobs completed, etc., prepared on a daily or other periodic basis, after 1 year. e) Destroy in office remaining reports and studies when reference value ends.† Agency Policy: Destroy in office after <u>a minimum of one (1) year</u> after reference value ends.	



\* 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>ALARM CALL REPORTS</b> Reports completed by officers responding to alarm calls. Includes listings of alarm type, time received, time arrived, reason for activation, and other related information. May include forms completed by businesses naming emergency contacts, location of safe, and other related information.	a) Destroy in office after 30 days if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
4.	<b>ALTERNATIVE SENTENCING PROGRAMS</b> Records documenting alternative sentencing programs. May include work release and weekender service.	Destroy in office 3 years after individual leaves program.	
5.	<b>ANIMAL CONTROL RECORDS</b> Reports of animal control calls. May include information regarding animal bites, animals received from citizens, strays caught, animals taken to shelter or returned to owner, use of tranquilizer guns, and other related information.	a) Destroy in office records concerning dangerous animals when known dead or after 10 years.  b) Destroy in office records concerning animal abuse cases after 5 years.  c) Destroy in office remaining records after 1 year.	
6.	 <b>ARREST PROCESSING: TRACKING RECORDS</b> Records used to track a defendant's time and activities while in arrest processing. May include time of arrival and time to and from each workstation.	Destroy in office 1 year after date of arrest.*	Confidentiality: G.S. § 132-1.4



\* 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7. 	<b>ARREST PROCESSING: DWI TRACKING RECORDS</b> Records used to track a defendant's time and activities while in arrest processing. May include time of arrival and time to and from each workstation, time to and from the magistrate's office, time allowed to use the telephone, and notes documenting any unusual and/or violent behavior.	Destroy in office 2 years after date of arrest.*	Confidentiality: G.S. § 132-1.4
8. 	<b>ARREST REPORTS</b> Reports concerning arrests made by officers. May include complete name, alias or nickname, residence, sex, age, date of birth, physical description, offense committed, car make, license number, occupation, telephone numbers, names of witnesses, name(s) of arresting officer(s), and other related information.	a) Destroy in office 5 years from date of arrest if report is not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4
9.	<b>AUCTION RECORDS</b> Records concerning abandoned and unclaimed articles or found property sold at public auction. May include auction receipts of monies received for items sold.	Destroy in office after 3 years.*	



\* 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10. 	<b>AUDIO AND VIDEO RECORDINGS</b> Tapes and digital recordings generated by mobile and fixed audio and video recording devices.  Does not include <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> , page 65, item 35.	a) Destroy in office after 30 days if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  c) If record is made part of a citizen complaint follow disposition instructions for <b>COMPLAINTS AGAINST DEPARTMENT / ADMINISTRATIVE INVESTIGATION RECORDS</b> , page 60, item 20.  d) If record is made part of an internal investigation follow disposition instructions for <b>INTERNAL AFFAIRS CASE RECORDS</b> , page 72, item 62.	Confidentiality: G.S. § 132-1.4 G.S. § 153A-98
11. 	<b>CASE HISTORY FILE: FELONIES</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports; statements of seized and returned property, interview sheets; case status reports, photographs, court orders, correspondence; officer's notes, laboratory tests, court dispositions, audio or video recordings, and other related records.  See also <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> , page 65, item 35.	a) Destroy in office records concerning solved cases after 20 years.*  b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).	Confidentiality: G.S. § 132-1.4


\* 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12. 	<b>CASE HISTORY FILE: MISDEMEANORS</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports, statements of seized and returned property, interview sheets, case status reports, photographs, court orders, correspondence, officer's notes, laboratory tests, court dispositions, audio or video recordings, and other related records.	a) Destroy in office records concerning solved malicious misdemeanor cases after 3 years.*  b) Retain in office records concerning unsolved malicious misdemeanor cases until solved, and then follow disposition instructions in part (a).  c) Destroy in office records concerning all misdemeanor cases not covered in (a) or (b) after 3 years.*	Confidentiality: G.S. § 132-1.4
13. 	<b>CASE HISTORY FILE: CASES NOT OFFICIALLY INVESTIGATED</b>	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 132-1.4
14.	<b>CHEMICAL ANALYSIS RECORDS</b> Records and reports generated when individuals suspected of being under the influence of or impaired by illegal drugs or alcohol are chemically tested.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if records are not made part of a case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	

\* 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>CIVIL PROCESS RECORDS</b> Records concerning civil papers processed and served by sheriff's office. May include lists of summons, notices, subpoenas, and court orders served; lists of items seized or sold on execution; lists of judgments collected; and ejectments. (Entries are usually filed numerically by case number and indexed by name).	a) Return originals to issuing clerk of court's office as required by law once served, canceled, withdrawn or otherwise disposed of.  b) Destroy in office after 3 years records concerning judgments collected and similar claims and deliveries.*  c) Destroy in office records concerning all other civil orders including department copies of warrants, subpoenas and orders of arrest when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	
16.	 <b>COMMUNICATION RECORDS</b> Recordings, printouts, and logs of telephone, radio, dispatch, 911 emergency calls or texts, and computer aided dispatch (CAD) systems incoming and/or outgoing communications. May include time and date of call, contents of call, location of call, name of unit sent to scene, and other related information.	a) Destroy in office after 30 days if not made part of a case file.*  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4
18.	<b>COMPOSITE INTERVIEWS</b> Summaries of interviews used to determine the physical description of suspects. May include race, sex, build, weight, eye and hair color, skin tone, weapon description, and other related information.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	

\* 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19. 	<b>COMPLAINTS</b> Records concerning complaints to which a unit responded. May include logs listing name and address of victim, time, date, nature of complaint, responding officer's name, action taken, and other related information.  See also <b>COMPLAINTS AGAINST DEPARTMENT/ ADMINISTRATIVE INVESTIGATION RECORDS</b> , page 60, item 20.	a) Destroy in office 3 years after resolution if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4
20. 	<b>COMPLAINTS AGAINST DEPARTMENT/ ADMINISTRATIVE INVESTIGATION RECORDS</b> Citizen complaints against employees of the department or against the department. May include administrative investigation reports initiated within the sheriff's office.  See also <b>COMPLAINTS</b> , page 60, item 19.	a) Destroy in office records of complaints against employees of the department 3 years after resolution if not made part of an internal investigation.  b) If record is made part of an internal investigation against employees of the department follow disposition instructions for <b>INTERNAL AFFAIRS CASE RECORDS</b> , page 72, item 62.  c) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition.  d) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations.  e) Retain in office litigation case records having precedent or historical value permanently.	Confidentiality: G.S. § 132-1.1(a)


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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21. 	<b>CONFIDENTIAL FUNDS RECORDS</b> Records concerning the use of confidential funds utilized to pay informants, purchase contraband, or otherwise finance undercover operations for vice/narcotics and special investigations.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-1.7(c)
22. 	<b>CRIME ANALYSIS RECORDS</b> Records used to anticipate, prevent, or monitor possible criminal activity. May include crime reports, photographs, complaints, copies of citations, criminal profile information, and interoffice memoranda generated or accumulated in connection with investigations or directed patrols.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 132-1.4 G.S. § 132-1.7(a2)
23.	<b>CRIME PREVENTION RECORDS</b> Records concerning sheriff's office and community meetings and other functions which seek to prevent or monitor possible criminal activity. May include meeting schedules and agendas and other related records.	a) Retain in office records with historical value permanently.  b) Destroy in office remaining records when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	
24. 	<b>CRIMINAL HISTORY RECORDS</b> Records concerning the arrest history of individuals. May include summary sheets or cards, arrest reports, mug shots, fingerprint cards, and other related records.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<b>DAILY BULLETINS</b> Daily bulletins used to provide officers with information concerning stolen vehicles, missing persons, new warrants, wanted persons, and any other specific complaint or incident. May include "be on the lookout" records and forms.	Destroy in office when reference value ends. <sup>†</sup> <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	
26.	 <b>DETENTION FACILITY INCIDENT REPORTS</b> Detention facility incident reports. Include narratives of incidents, lists of those involved, statements and interview reports, inmates' refusal of medical treatment, inmates' refusal to press charges, and other related records.	a) Destroy in office after 3 years.* b) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition. c) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations. d) Retain in office litigation case records having precedent or historical value permanently.	Confidentiality: G.S. § 132-1.1(a)
27.	<b>DETENTION FACILITY INSPECTION RECORDS</b> Inspection reports of county detention facilities. May include reports made by the N.C. Department of Health and Human Services.	a) Destroy in office 1 year from date of report if no violations are recorded. b) Destroy in office 1 year after corrective action was approved if violations are recorded.	


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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
28.	<b>DETENTION FACILITY OPERATIONAL RECORDS</b> Records concerning all activities occurring during shifts at detention facilities. May include end of duty (shift change reports, key and radio control lists, equipment and inmate/non-inmate housing check lists, cell inspection reports, laundry exchange and controlled property lists, tour reports, etc.) and inmate accountability (rosters, commitment and release reports, cell locations, etc.) records.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† Agency Policy: Destroy in office after <u>a minimum of three (3) years after reference value ends.</u>	
29.	<b>DETENTION FACILITY PHYSICAL FORCE RECORDS</b> Reports made by any officer or employee of a detention facility who applies physical force to an inmate or arrestee.	Destroy in office after 3 years.*	
30.	<b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) ENTRIES</b> Records and logs listing entries and inquiries made against DCI-NCIC networks and concerning missing persons, wanted persons, stolen vehicles or other property, and other related topics.	Destroy in office 1 year after period covered by audit.*	Authority: 28 USC 534
31.	<b>DIVISION OF CRIMINAL INFORMATION AND NATIONAL CRIME INFORMATION CENTER (DCI-NCIC) VALIDATION RECORDS</b> Requests and proofs of verification for DCI-NCIC or other law enforcement information networks.	Destroy in office after 1 year.*	Authority: 28 USC 534



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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<b>DNA SAMPLING RECORDS</b> Records documenting the collection of DNA samples from persons for qualifying offenses. May include copies of judgments. Original samples are forwarded to the State Bureau of Investigation.	a) Destroy in office 1 year from date sample was obtained if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Authority: G.S. § 15A-266.8
33.	 <b>DOMESTIC VIOLENCE RECORDS</b> Restraining orders and related records.	a) Destroy in office after expiration of restraining order if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4
34.	<b>DRIVING WHILE IMPAIRED (DWI) REPORTS</b> Reports used for persons arrested for driving while impaired by alcohol and/or drugs. May include breathalyzer analysis reports.	a) Transfer original records to county Clerk of Superior Court's office.  b) Destroy in office duplicate copies when reference value ends if not made part of a case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>  c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	



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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35. 	<b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> Electronic recordings generated by audio and/or video recording devices of custodial interrogations in an investigation of a juvenile or any person in a criminal investigation related to a Class A, B1, or B2 felony or a Class C felony of rape, sex offence, or assault with a deadly weapon with intent to kill inflicting serious injury.	a) Destroy in office recordings of interrogations of convicted defendants 1 year after the completion of all State and Federal appeals of the conviction.  b) Destroy in office remaining recordings of when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 7B-3001(b)  Authority: G.S. § 15A-211
36. 	<b>EXPUNCTIONS</b> Records concerning the expunction of a convicted individual's records. May include petitions, affidavits, and other related records. If the petition is approved all records relating to that case are to be destroyed in accordance with the court order.	Transfer Final Disposition Report to the State Bureau of Investigation once all records relating to the case are expunged.	Confidentiality: G.S. § 132-1.4  Authority: G.S. § 15A-145 G.S. § 15A-146
37.	<b>EXTRADITION CASE RECORDS</b> Records concerning the extradition of prisoners in and out of state. May include court orders, correspondence, and other related records.	Follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
38.	<b>FEDERAL FIREARMS NOTIFICATION RECORDS</b> Copies of records and forms provided by individuals applying for certain federal firearm licenses.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Authority: 18 USC 923(d)(1)(f)(iii)


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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	<b>FEDERAL FORFEITURE RECORDS</b> Records concerning funds received from seized assets and records concerning expenditures made with federal forfeiture funds.	Destroy in office after 3 years.*	
40. 	<b>FIELD OBSERVATIONS</b> Reports concerning field observations of suspicious persons or vehicles. May include subject's name, address, and physical description; date, time, and location of occurrence; reason for stop; name of officer conducting interview; and other related information.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 132-1.4
41. 	<b>FINGERPRINT CARDS</b> Records used to verify a subject's identity. May include fingerprints and all necessary information required to identify an individual. Also includes records of latent finger and palm prints that were found at the scene of a crime without identification of suspects. Original fingerprint records are forwarded to the State Bureau of Investigation.  See also <b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b> , page 73, item 64.	a) Destroy in office duplicate records after 3 years.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4  Authority: G.S. § 15A-502
42.	<b>FORCIBLE ENTRY RECORDS</b> Reports concerning forcible entries made by sheriff's office personnel.	Destroy in office after 1 year.	

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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
43.	<b>FUGITIVE WARRANTS CASE RECORDS</b> Records concerning fugitive warrants sent to a department from another jurisdiction requesting assistance in finding an individual. May include fugitive profile and warrant.	Destroy in office 1 year after case is closed.	
44.	 <b>IDENTIFICATION PHOTOGRAPHS</b> Photographs (mugshots) of persons arrested in association with formal investigations. May include driver's license photos or negatives.  See also <b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b> , page 73, item 64.	a) Destroy in office after 3 years if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4
45.	<b>IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS</b> Records concerning individuals incarcerated in county detention facilities per the U.S. Illegal Immigration Reform and Immigrant Responsibility Act (IIRAIRA), Section 287(g).	Destroy in office 3 years after individual is released or transferred from the facility.	
46.	<b>INCIDENT RESPONSE REPORTS</b> Reports completed by officers responding to incidents. May include victim, suspect, and witness information; damaged and stolen property reports; statement sheets; Miranda waiver forms; and other related records.	c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  d) Destroy in office when reference value ends if not made part of case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47. 	<b>INFORMANT RECORDS</b> Records concerning informants. May include correspondence, payment records, and other related records.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 132-1.4
48.	<b>INMATE CLASSIFICATION RECORDS</b> Records concerning classification information gathered by the detention facility while inmates are incarcerated. May include incident reports, behavioral or disciplinary reports, interviews, classification level assigned, requested housing moves, and other related records.  See also <b>IMMIGRATION AND CUSTOMS ENFORCEMENT (ICE) DETAINEE RECORDS</b> , page 67, item 45.	Destroy in office 3 years after inmate is released or transferred from the facility.*	
49.	<b>INMATE COMMITMENT RECORDS</b> Copies of judgment and commitment papers received from the Clerk of Superior Court's office used to validate time spent incarcerated.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
50.	<b>INMATE DEATH REPORTS</b> Reports filed by office upon the death of an inmate. A report must be sent to the county health director and N.C. Department of Health and Human Services, within five days of the death.	Destroy in office after 3 years.*	Authority: G.S. § 153A-224(b)
51.	<b>INMATE FINANCIAL RECORDS</b> Records concerning individual inmate funds maintained by a detention facility for use by the inmate while incarcerated. May include balance sheets listing inmate's name and number, amount of funds, dates of deposits and withdrawals, and other related information.	Destroy in office 3 years after inmate is released or transferred from the facility.*	
52. 	<b>INMATE GRIEVANCE RECORDS</b> Records concerning grievances filed by inmates and actions taken.	a) Destroy in office 3 years after inmate is released or transferred from the facility.*  b) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition.  c) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations.  d) Retain in office litigation case records having precedent or historical value permanently.	Confidentiality: G.S. § 132-1.1(a)


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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<b>INMATE INCARCERATION RECORDS (ACTIVE AND INACTIVE)</b> Records concerning non-medical information gathered on inmates in county detention facilities. May include entry and release summaries, detainees' arrest sheets; court commitment and release orders, work release records, pretrial release agreements, and other related records concerning the arrest and confinement of an individual.	Destroy in office 3 years after inmate is released or transferred from the facility.*	
54.	<b>INMATE LIST REPORTS</b> Lists of inmates furnished weekly to the Clerk of Superior Court.	Destroy in office when superseded or obsolete.	Authority: G.S. § 153A-229
55.	<b>INMATE MAIL, TELEPHONE, OR VISITOR RECORDS</b> Records concerning telephone calls and mail sent and received by inmates, and attorneys, ministers, or family members visiting inmates confined in county detention facilities. May include logs listing inmate's name, date and time of call or mail, visitor's signature and address, and other related information.	Destroy in office after 1 year.*	
56.	<b>INMATE MEAL RECORDS</b> Records concerning the planning and scheduling of inmate meals. May include food service daily shift reports, daily meal sheets, food order forms, kitchen checklists, lists of inmates receiving meals and other related records. File also includes records concerning requests for special diets made by inmates.	Destroy in office after 3 years.*	Retention: 10A NCAC 14J .1723



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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
57. 	<b>INMATE MEDICAL RECORDS</b> Records concerning medical examinations, diagnoses, and treatments of inmates. May include medical information sheets and screening forms, medical histories as provided by inmate, receipt and/or release forms for medications and medical articles, laboratory and x-ray reports, blood pressure records, sick bay transfer forms, special diet authorizations, psychological evaluation forms, suicide watch sheets, progress notes, health assessment forms, dental forms, doctors' orders, transportation records to outside clinics or hospitals, and other related records. May also include authorization records for release of medical information to detention facility staff, informed consent forms, refusal of treatment forms, and release of financial responsibility forms.	Destroy in office 5 years after inmate is released or transferred from the facility.*	Confidentiality: G.S. § 8-53 45 CFR 164.502  Authority: G.S. § 153A-225.2
58.	<b>INMATE MONTHLY CONFINEMENT REPORTS</b> Monthly reports submitted to the N.C. Department of Health and Human Services listing confinement (Jail) figures.	Destroy in office after 3 years.*	
59.	<b>INMATE PERSONAL IDENTIFICATION RECORDS</b> Records concerning changes to be made to an inmate's incarceration file. May include personal identification changes, superior court calendar, long form dismissals and other related records.	Destroy in office 30 days after receipt.*	



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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
60.	<b>INMATE RESEARCH REQUESTS</b> Requests filed by inmates seeking use of a facility's law library or similar collection containing research materials.	Destroy in office 1 year from date of request.	
61.	<b>INMATES: REIMBURSEMENT REQUESTS FOR THOSE CONFINED LOCALLY</b> Reports and supporting documentation sent to the N.C. Department of Public Safety requesting state and/or federal reimbursement for inmates serving sentences of thirty days or more in a county detention facility.	Destroy in office after 3 years.*	Authority: G.S. § 148-32.1
62. 	<b>INTERNAL AFFAIRS CASE RECORDS</b> Records concerning internal investigations of alleged officer misconduct. May include complaints, investigation reports, disciplinary action, and other related records.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 43, Item 30. b) Destroy in office all remaining records 2 years after resolution of all actions.	Confidentiality: G.S. § 153A-98  Retention: 29 CFR 1602.31
63. 	<b>JUVENILE CASE HISTORY FILES</b> Includes incident and arrest reports, detention orders, disposition instructions, name and address of person having legal and/or physical custody of child, correspondence with county or state juvenile services, and other related records.	a) Destroy in office records when juvenile reaches 21 years of age if adjudicated for an offense that would have been a Class A, B1, B2, C, D, or E felony if committed by an adult. b) Destroy in office records related to all other cases when juvenile reaches 18 years of age.	Confidentiality: G.S. § 7B-3001(b)


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64. 	<b>JUVENILE CASE HISTORY IDENTIFICATION RECORDS</b> Includes fingerprints and photographs.	a) Transfer to the State Bureau of Investigation and Federal Bureau of Investigation.  b) Destroy in office reference copies when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 7B-2102 (d)  Retention: G.S. § 7B-2102
65. 	<b>JUVENILE DETENTION RECORDS</b> Records concerning medical and non-medical information gathered on juvenile inmates held in county detention facilities.	a) Destroy in office medical records when juvenile reaches 21 years of age.  b) Destroy in office non-medical records when juvenile reaches 18 years of age.	Confidentiality: G.S. § 7B-3001(b)
66.	<b>MULTIPLE FIREARMS SALES REPORTS</b> Reports received from dealers reporting the sale of multiple firearms.	Destroy in office when reference value ends, but within 20 days after receipt.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Retention: 18 USC 923(g)(3)(b)
67.	<b>MULTIPLE FIREARMS SALES REPORTS DESTRUCTION RECORDS</b> Records submitted after 6 months to the U.S. Attorney General's Office certifying that all multiple firearm sales reports received from dealers have been destroyed.	Destroy in office after 1 year.	Authority: 18 USC 923(g)(3)(b)
68.	<b>MUTUAL AID AGREEMENT RECORDS</b> Records concerning officers who work with other agencies and vice versa. May include mutual aid agreements and supporting documentation.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	




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	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
69.	<b>PAROLE COMMISSION NOTIFICATION REPORTS</b> Reports submitted to the N.C. Parole Commission listing dates of incarceration, jail credit, and other related documentation.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Authority: G.S. § 148-32.1
70.	<b>PAWNSHOP RECORDS</b> Pawnshop and property records.	a) Destroy in office after 1 year if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
71.	<b>PERMISSION TO SEARCH RECORDS</b> Authorizations for officers to search property, and if necessary, confiscate property deemed pertinent to an investigation.	a) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.  b) Destroy in office when reference value ends if not made part of a case file.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	
72. 	<b>PERMITS, CONCEALED WEAPONS</b> Applications and supporting documentation filed to carry concealed weapons. May include lists of permit holders, lists of permit denials, records of background checks, and other related documentation.	a) Destroy in office all approved applications 5 years after the date of last renewal.  b) Destroy in office criminal histories and related records concerning approved applications when permit is issued.  c) Destroy in office denied applications and related records 5 years from date of denial or resolution of petition filed with district court, whichever is longer.	Authority & Confidentiality: G.S. § 14-415.17

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† 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
73. 	<b>PERMITS, HANDGUN</b> Applications filed to purchase handguns. May include lists of permit holders, lists of permit denials, background checks, and other related records.	a) Destroy in office all approved applications after 5 years. b) Destroy in office criminal histories and related records concerning approved applications when permit is issued. c) Destroy in office denied applications and related records 5 years from date of denial or resolution of petition filed with district court, whichever is longer.	Authority & Confidentiality: G.S. § 14-405
74. 	<b>PERSONAL HISTORIES OF KNOWN OR SUSPECTED LAW BREAKERS</b> Records collected concerning an identifiable person or group of persons in an effort to anticipate, prevent or monitor criminal activity. May include witnesses' statements, laboratory tests, surveillance, reports, investigators' or confidential informants' statements, photographs, vital statistics, and other related records.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 132-1.4 G.S. § 132-1.7
75. 	<b>PERSONNEL INSPECTION REPORTS</b> Inspection reports concerning individual officer's physical appearance and condition of uniform and weapons.  See also <b>PERFORMANCE REVIEWS</b> , page 42, item 28.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	Confidentiality: G.S. § 153A-98
76.	<b>PRISONER/MENTAL PATIENT TRANSPORT RECORD</b> Verification forms completed by receiving party of prisoner/mental patient.	Destroy in office after 1 year.	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
77.	<b>PROPERTY RECORDS: CONFISCATED</b> Itemized lists of all property confiscated by the sheriff's office pursuant to law.	Destroy in office 1 year after disposition of property.	
78.	<b>PROPERTY RECORDS: EVIDENCE</b> Records used to control and track evidence. May include descriptions of property, physical evidence examination requests, and records documenting final disposition of property.	Destroy in office 1 year after disposition of property.	
79.	<b>PROPERTY RECORDS: STOLEN/RECOVERED</b> Records concerning the recovery of stolen property. May include descriptions of property and its value, serial numbers, and other related records. Records may be filed with original incident report.	Destroy in office 1 year after disposition of property.	
80.	<b>PROPERTY RECORDS: UNCLAIMED</b> Disposition records concerning unclaimed property held by sheriff's office. May include descriptions of property and serial or identification numbers.	Destroy in office 1 year after disposition of property.	
81.	<b>PROPERTY RECORDS: UNCLAIMED INMATE</b> Records concerning unclaimed personal property stored by the department during an inmate's incarceration.	Destroy in office 90 days after release and attempt to notify former inmate.	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
82.	<b>PURSUIT LOGS</b> Logs concerning pursuits by sheriff's office personnel.	a) Destroy in office after 3 years if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
83.	<b>RIDE-ALONG PROGRAM RECORDS</b> Records concerning a sheriff's office ride-along program. May include citizens' applications to participate, waivers of liability, and other related records.	Destroy in office after 3 years.*	
84.	<b>SEXUAL OFFENDER RECORDS</b> Records concerning sexual offenders living within jurisdiction.	a) Destroy in office records of persons registered in the "Sex Offender and Public Protection Program" after court petition and review by the State; or after 30 years or length of court order, whichever is greater; or when individual is known dead.  b) Destroy in office records of persons registered in the "Sexually Violent Predator Program" when individual is known dead or after 90 years.	Authority: G.S. § 14-208  Retention: G.S. § 14-208.6A
85.	<b>SPECIAL ORDER RECORDS</b> Special orders issued by sheriff concerning the adoption or revision of policy and established procedures on department, division, section, or individual level.	a) Retain in office records with historical value permanently.  b) Destroy in office remaining records when superseded or obsolete.	


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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
86.	<b>TOWED/SEIZED VEHICLE INVENTORIES</b> Inventories of towed and seized vehicles.	Destroy in office after 1 year.	
87.	<b>TRAFFIC ACCIDENT REPORTS</b> Records concerning traffic accidents. May include general correspondence, property receipts, collision reports, waivers signed by involved parties agreeing to settle damages among themselves, and other related records.	a) Transfer original collision report to the N.C. Division of Motor Vehicles within 10 days of accident. b) Destroy in office duplicate reports when reference value ends. <sup>†</sup> <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u> c) Destroy in office after 3 years records concerning accidents not meeting N.C. Division of Motor Vehicles reporting requirements, but for which a report was made.	


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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
88. 	<b>TRAFFIC CITATIONS</b> Citations issued to drivers violating motor vehicle and traffic laws. May include time, date, and location of violation; license number; violation code; officer's name; signature of person receiving citation; and other related information.	a) Transfer original records to county Clerk of Superior Court's office. b) Destroy in office duplicate copies when reference value ends if not made part of a case file. <sup>†</sup> <b>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</b> c) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12. d) If legal action is taken and case adjudicated, destroy in office 5 years after final disposition. e) If legal action is taken and case non-adjudicated (out-of-court claims), destroy in office 5 years after final disposition or expiration of relevant statute of limitations. f) Retain in office litigation case records having precedent or historical value permanently.	Confidentiality: G.S. § 132-1.1(a)

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<sup>†</sup> 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-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
89. 	<b>TRAINING RECORDS</b> Records concerning the training of officers. May include records documenting in-service training schools conducted to develop skills, knowledge, and abilities; field training observation reports; supervisory career assessment forms; certificates; firearms qualifications; and other related records maintained in accordance with N.C. Administrative Code and Criminal Justice Commission standards and regulations. May also include course curriculum, attendance rosters, development material, and other related records.	a) Transfer records as applicable to <b>PERSONNEL RECORDS (OFFICIAL COPY)</b> , page 43, item 30, if such training and testing is required for the position held or could affect career advancement. b) Destroy in office remaining records after 1 year.	Confidentiality: G.S. § 153A-98  Retention: 29 CFR 1627.3(b)(1)(iv)
90.	<b>TRESPASS LAW ENFORCEMENT RECORDS</b> Authorizations by property owners, lessees, or managers for officers to take action deemed appropriate to remove unauthorized persons and issue trespass warnings.	Destroy in office when superseded or obsolete.	
91.	<b>VEHICLE LOCATOR RECORDS</b>	Destroy in office after 90 days.*	
92.	<b>VEHICLE TOWING RECORDS</b> Includes recovery authorizations and consent forms completed by owners to have vehicle towed, removed, stored, or left at the scene.	a) Destroy in office after 1 year if not made part of a case file. b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	

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ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
93.	<b>WARNING TICKETS</b> Warning tickets issued by sheriff's office. May include name and address of person and reason for warning.	a) Destroy in office after 1 year if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	
94.	<b>WARRANTS</b> Warrants issued by a court directing a person to be taken into custody to answer charge.	Return to issuing Clerk of Superior Court's office as required by law once served, canceled, withdrawn, or otherwise disposed of.	
95.	<b>WARRANT REGISTERS</b> Registers listing warrants served by sheriff's office.	Destroy in office when reference value ends.† <u>Agency Policy: Destroy in office after a minimum of one (1) year after reference value ends.</u>	
96.	<b>WORK RELEASE EARNINGS REPORTS</b> Inmates' work release earnings submitted either to the N.C. Department of Public Safety or the Clerk of Superior Court.	Destroy in office after 3 years.*	Authority: G.S. § 148-32.1
97.	<b>WRECKER SERVICE RECORDS</b> Records concerning wrecker requests or calls. May include lists of wrecker company's towing and storage rates, rotation lists, notification records when vehicles are towed from private property, and other related records.	a) Destroy in office after 1 year if not made part of a case file.  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	

\* 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.

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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. (See also the question above, “*What should I do with permanent records?*”)
- 

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

- A.** After your county 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

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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 90) 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 continue to destroy the records appropriately.

---

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

- 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/For-Government/Digital-Records/Digital-Records-Policies-and-Guidelines#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 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 will have to convert all records to the new system so that you can assure their preservation and provide access.

---

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

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

---

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

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

Note that for e-mail, voicemail, text messages, and social media, they should be handled according to their content. Therefore, this schedule does not include a records series that instructs you on how to handle one of these born-digital records by format; instead of focusing on how the information is disseminated, consider what content is contained in the e-mail, text message, voicemail, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see **LEAVE RECORDS**, page 41, item 24).

## 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.

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### ***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.

---

### ***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



### 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 Date  
NC Division of Archives and Records



## **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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**County Sheriff's Office  
Records Retention Schedule Amendment**

Amending the County Sheriff's Office Records Retention and Disposition Schedule published November 15, 2015.

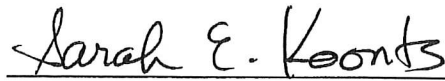
**STANDARD 8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS**

Amending Item 10, Audio and Video Recordings, as shown on substitute page 57.

**APPROVAL RECOMMENDED**



County Sheriff



Sarah E. Koonts, Director  
Division of Archives and Records



**APPROVED**

\_\_\_\_\_  
Chairman, Bd. of County Commissioners

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

County: \_\_\_\_\_

October 1, 2016

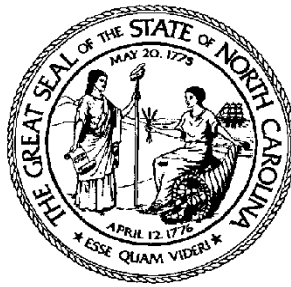
ITEM #	STANDARD-8. PROGRAM OPERATIONAL RECORDS: SHERIFF RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10. 	<b>AUDIO AND VIDEO RECORDINGS</b> Tapes and digital recordings generated by mobile and fixed audio and video recording devices.  Does not include <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> , page 65, item 35.	a) Destroy in office after 30 days if not made part of a case file.*  b) If records are made part of a case file follow disposition instructions for <b>CASE HISTORY FILE: FELONIES</b> , page 57, item 11; or <b>CASE HISTORY FILE: MISDEMEANORS</b> , page 58, item 12.	Confidentiality: G.S. § 132-1.4A
11. 	<b>CASE HISTORY FILE: FELONIES</b> Includes investigative reports, complaint reports, fingerprint cards, original arrest reports, copies of warrants, special expenditure reports; statements of seized and returned property, interview sheets; case status reports, photographs, court orders, correspondence; officer's notes, laboratory tests, court dispositions, audio or video recordings, and other related records.  See also <b>ELECTRONIC RECORDINGS OF INTERROGATIONS (JUVENILE OR HOMICIDE)</b> , page 65, item 35.	a) Destroy in office records concerning solved cases after 20 years.*  b) Retain in office records concerning unsolved cases until solved, and then follow disposition instructions in part (a).	Confidentiality: G.S. § 132-1.4

\* 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.

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## REGISTER OF DEEDS



Issued By:



North Carolina Department of Cultural Resources  
Division of Archives and Records  
State Archives of North Carolina  
Government Records Branch

October 10, 2012



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**Register of Deeds**  
**Records Retention and Disposition Schedule**

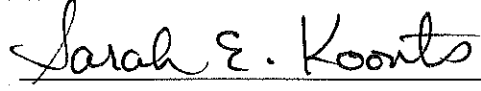
The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapters 121 and 132 of the *General Statutes of North Carolina*, it is agreed that the records do not and will not have further use 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. 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 Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative value ends.*" The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "*destroy when administrative value ends.*" If an office does not establish internal policies and retention periods, the office is not complying with the provisions of this retention schedule and is not authorized by the Department of Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative value ends.*"

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.

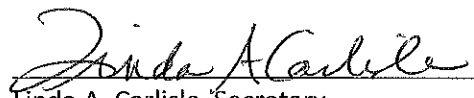
**APPROVAL RECOMMENDED**

\_\_\_\_\_  
Register of Deeds

  
\_\_\_\_\_  
Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**

\_\_\_\_\_  
Chairman  
Board of County Commissioners

  
\_\_\_\_\_  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

\_\_\_\_\_  
Name of County

October 10, 2012

## EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR 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 record series listed on this schedule has specific disposition instructions which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." 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 administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate record series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all county employees and officials take our online tutorials 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, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions. The State Archives will also microfilm Plats for the register of deeds. 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 assigned to your county 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 registers of deeds and their staff across the state to use when managing the records in their offices. It lists records commonly found in register of deeds offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your office 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 it approved?***

- A.** This schedule must be approved by the local Board of County Commissioners. The Chairman of the Board of County Commissioners should indicate approval by signing the agreement of this schedule. This 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.
- 

**Q. *Do I have 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 the definition of “administrative value”?***

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)
- 

**Q. *What do I do with routing slips, fax cover sheets, reference copies, memory aids, reservations and confirmations, etc.?***

- A.** 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 guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.
- 

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

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect according to the organizational structure of your office, 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 office.
- 

**Q. *I can’t 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 box” function on the PDF version of the schedule. If you

still cannot locate your records on the schedule, then contact the Records Management Analyst assigned to your county. We will work with you to amend this records schedule to include records so that you may destroy them appropriately.

---

**Q. *What are public records?***

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

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

---

**Q. *Can anyone 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. *Do I have to make copies of drafts available to the public that haven't been approved?***

- A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied 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. Permanent records must also have a preservation duplicate, which is either a paper or microfilm copy.

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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 the Records Management Analyst assigned to your county for further assistance.

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**Q. *I don't have any records.***

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren't 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 retained or 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, outdoor shed)?***

- A.** Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, 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. Do we have to let anyone who asks see them?***

- 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 county offices. Contact the Records Management Analyst assigned to your county 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 the Records Management Analyst assigned to your county. 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 the Records Management Analyst assigned to your county. 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 about Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. 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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***No record involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.***

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](#) Item 4, page 2 and [AUDITS: FINANCIAL](#) Item 5, page 14.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the register of deeds 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.

## DESTRUCTION OF PUBLIC RECORDS

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

- A.** Each record series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question above, “*How should I deal with my permanent records?*”)
- 

### ***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:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated;
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

**Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used. We do not recommend the disposal in a landfill of records containing confidential information.**

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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](#) form (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

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### ***Q. I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?***

- A.** At the end of this schedule is a form called the [Request for Disposal of Unscheduled Records](#). Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
- 

### ***Q. Do I have to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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: EMAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

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### **Q. *When can I delete my email?***

- A.** Email is a public record as defined by G.S. §121-5 and G.S. §132. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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 email 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 email simply because storage limits have been reached.*** Some examples of email messages that are public records and therefore covered by this policy include:

- Policies or directives;
- Final drafts or 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 will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

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### **Q. *May I print my email to file it?***

- A.** We do not recommend printing email for preservation purposes. Important metadata is lost when Email is printed.

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### **Q. *I use my personal email account for work. No one can see my personal email.***

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

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

- A.** You may scan any record, including permanent records. You will need to get approval from our agency in order to destroy paper originals that have been digitized. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self Warranty process, develop an Electronic Records Policy, and complete a copy of the [Request for Disposal of Original Records Duplicated by Electronic Means](#), (located at the end of this schedule). Then submit all three to us.

**Permanent records** must have a security preservation copy as defined by the 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 security duplicate of permanent records must be either on paper or microfilm.***

**Non-permanent records** may be retained in any format, and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with records that you must keep more than about 10 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the [Request for Disposal of Original Records Duplicated by Electronic Means](#) form for our approval.

---

**Q. *Computer storage is cheap. I'll just keep my computer records.***

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

---

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

- A.** The following documents are available on the State Archives of North Carolina website:
- Best Practices for Cloud Computing: Records Management Considerations
  - Best Practices for Electronic Communication Usage in North Carolina: Text and Instant Message
  - Best Practices for Electronic Communication Usage in North Carolina: Guidelines for Implementing a Strategy for Text and Instant Messages
  - Best Practices for File Naming
  - Best Practices for Social Media Usage in North Carolina
  - Guidelines for Digital Imaging Systems
  - Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
  - Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

For guidance about electronic recording (E-Recording) please see the [Uniform Real Property Electronic Recording Act report](#), available at [http://www.cslib.org/publicrecords/electronicfiling/NorthCarolina09-12-06-Draft\\_eRecStandards.pdf](http://www.cslib.org/publicrecords/electronicfiling/NorthCarolina09-12-06-Draft_eRecStandards.pdf).

## 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 and §153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. Our office 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 State Archives of North Carolina provides microfilming of minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your county 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 the Records Management Analyst assigned to your county.

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 the analyst assigned to your county 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’re being filmed?***

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

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

- A.** Not at this time. We require originals or photocopies of the approved minutes, complete with signatures. We are currently working on standards and procedures for an electronic transfer system for minutes. Please contact the Records Management Analyst in charge of minutes microfilming for more information.
- 

### **Q. *I have some old minutes that aren’t 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.

---

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

- A.** Call the Records Management Analyst assigned to your county, 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**

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**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 Branch or (919) 814-6876 for the State Archivist. If you're in the western part of the state, call our Asheville Office at (828) 274-6789. 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 is trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle your 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 make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your county.

## **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 your 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** – our basic introduction to the Public Records law and records management;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens;

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

- A.** Yes, we will. Let the Records Management Analyst assigned to your county know what type of training you need.

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**Q. *Do we have to come to Raleigh for workshops?***

- 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.

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

- A.** Not at this time.

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**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 for Local Agencies-** our basic introduction to the Public Records law and records management.
  - **Managing Your Inbox: Email as a Public Record-** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
  - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls-** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.



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-7. PROGRAM OPERATIONAL RECORDS.**

Records received, recorded, and created in the Register of Deeds offices in order to meet statutory requirements.

Many of the records in the Register of Deeds Office are permanent records with a high degree of legal, administrative, and historical value. They are to be retained permanently and safeguarded from all damage. Creating microfilm copies of all of these records is a proven method of creating a preservation copy, which may be stored in the film vault of the State Archives of North Carolina. These records may be reproduced by electronic or computer processes, but no digital copy may serve as the official preservation duplicate as defined by G.S. § 132-8.2. Any county wishing to dispose of any of these records must first contact the Government Records Branch to inquire whether the State Archives wishes to take custody. *Permanent records may not be intentionally destroyed without written permission from the Department of Cultural Resources.*

ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ARMED FORCES DISCHARGES AND INDEX.</b> Official copies of military discharges and indexes.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends <sup>†</sup> Agency Policy: Destroy in office after <u>N/A</u>	Comply with applicable provisions of G.S. § 47-113.2 (effective January 1, 2004) regarding the confidentiality and removal of discharge records.

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 30.*

*\*\*Records in this series that are more than 60 years old, or have severe conservation concerns, may be offered to the State Archives of North Carolina for permanent transfer.* 55

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

ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<b>ARMED FORCES DISCHARGE REMOVAL REQUEST FORMS.</b> Forms and related records documenting a veteran's request to have discharges papers removed from the office's recorded instruments.	Retain in office permanently.	G.S. § 47-113.1 Repealed by Session Laws 2003-248.
3.	<b>ARMED FORCES DISCHARGES AUTHORIZATION TO RECORD AND REQUEST COPY FORMS</b> Forms used to give an authorized agent or representative the authority to record or request a copy of a discharge.	Retain with the related <a href="#">ARMED FORCES DISCHARGES PRESENTATION FOR RECORDING FORMS</a> , item 4, page 56; or with the related <a href="#">ARMED FORCES DISCHARGES REQUEST FOR COPY FORMS</a> , item 5, page 56.	G.S. § 47-113.2
4.	<b>ARMED FORCES DISCHARGES PRESENTATION FOR RECORDING FORMS</b> Forms completed and signed by an authorized party when presenting a discharge for recording.	a) Destroy in office 1 year from date discharge is filed. b) Retain in office permanently if form is filed with the armed forces discharge record.	G.S. § 47-113.2
5.	<b>ARMED FORCES DISCHARGES REQUEST FOR COPY FORMS</b> Forms completed by persons requesting copies of discharge records.	Destroy in office 1 year from date received.	Comply with applicable provisions of G.S. § 47-113.2(e2) regarding the confidential safekeeping and restricted access of request forms.
6.	<b>BONDS: CLERK OF SUPERIOR COURT</b> Taken or renewed bonds belonging to the office of the Clerk of Superior Court.	Destroy in office 6 years after termination.	G.S. § 58-72-50

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>BRANDS AND MARKS</b> Brands or earmarks for differentiating livestock.	Series discontinued. Transfer to the State Archives of North Carolina.	
8.	<b>CEMETERY LISTS</b> Lists of public cemeteries in the county outside of the limits of incorporated municipalities and not established and maintained for their use. Also includes lists of abandoned public cemeteries.	a) Retain in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 65-1
9.	<b>CHattel MORTGAGES AND INDEX</b> Mortgages, agricultural liens, conditional sales contracts, and all other loans which use personal property as collateral. In 1967 chattel mortgages were succeeded by the Uniform Commercial Code.	Series discontinued. Chattel mortgages satisfied prior to 1967 may be destroyed at any time.	
10.	<b>COHABITATION RECORDS</b> Records of cohabitation filed by freedmen. Includes names of cohabitants and the period of cohabitation.	Series discontinued. Transfer to State Archives of North Carolina.	G.S. § 51-5

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>CORPORATIONS (INCORPORATIONS) RECORDS AND INDEX</b> Official copies of charters, certificates of dissolution, and other related documentation of corporations whose principal office is in the county.	e) Retain official copies in office permanently.  f) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  g) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  h) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends <sup>†</sup> Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 55D, Article 3.

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>DEEDS, RECORD OF AND INDEX</b> Official copies of deeds in order of registration.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends <sup>†</sup> Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 47-17, 47-113 and 161-14.

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>DEEDS OF TRUST (MORTGAGES), RECORD OF AND INDEX</b> Official copies of deeds of trust (mortgages) in order of registration.	a) Retain official copies in office permanently. b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval. c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina. d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends† Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 45-4 through 43; G.S. § 47-17 through 36 and G.S. § 161-14.
14.	<b>DIVISIONS AND DOWERS RECORDS</b> Copies of reports of commissioners appointed to partition real estate and allot dowers, with certificate of approval of the clerk of superior court.	Series discontinued. Transfer to the State Archives of North Carolina.	G.S. § 29-30 and § 46.
15.	<b>FARM NAME REGISTER</b> Register of farm descriptions, names, registrant, and date of registration.	Retain in office permanently.**	G.S. § 80-33
16.	<b>GRAVES REMOVAL RECORDS</b> Certificates, maps, attachments and similar records documenting the disinterment and reinterment of graves.	Retain in office permanently.	15A North Carolina Administrative Code 19H .1201

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>HIGHWAY RIGHT-OF-WAY MAPS AND INDEX</b> Plan and profile sheets of the final right-of-way plans for all Department of Transportation projects under which the right-of-way or other interest in real property is acquired or access is controlled.	a) Retain in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 136-19.4
18.	<b>JUROR LISTS AND RECORDS</b> Includes lists of each person qualified to be selected for jury duty within the county, a statement of the sources used and procedures followed in preparing the list, reports, and all other related documentation.	Series now under custody of Clerk of Court.	G.S. § 9-4, 9-7
19.	<b>LAND ENTRY BOOK</b> Record of entries of claims to vacant land. Includes name of person entering claim, description of land claimed, and date claim was filed.	a) Retain in office permanently.**  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 146-22
20.	<b>LAND GRANT REGISTER</b> Records of grants from the Office of the Secretary of State obtained by any person.	a) Retain in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	
21.	<b>LAND SOLD FOR TAXES AND INDEX</b> Records of land sold for county taxes. Includes name of delinquent taxpayer, years for which taxes were due, and description of property.	Destroy in office upon State Archives of North Carolina approval.	

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>MARRIAGE HEALTH CERTIFICATES</b> Certificates from a regularly licensed physician stating that no evidence of venereal disease, tuberculosis in the infectious or communicable state, or mental incompetence was found in the applicants.	Series discontinued. Destroy in office immediately.	G.S. § 51-9 (Repealed 1994)
23.	<b>MARRIAGE LICENSES</b> Original endorsed marriage licenses returned to the Register of Deeds by the magistrate or minister. Includes delayed marriage certificates and supporting documentation.	a) Retain original licenses, affidavits, and court orders permanently. b) Destroy in office after 5 years supporting proofs, applications, and related records. c) Forward "Application, License and Certificate of Marriage" forms to the Office of Vital Records. d) Records which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 51-8 G.S. § 51-21(4) G.S. § 51-18.1
24.	<b>MARRIAGE REGISTER</b> Register of all marriages in the county. Includes, but is not limited to, the full name of the husband and wife, the date the ceremony was performed, and the location of the original license and return.	a) Retain official copies in office permanently. b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 51-18
25.	<b>MERCHANT RETURNS AND INDEX</b> Merchants' annual reports of total wholesale purchases made, used in determining franchise tax.	Series discontinued. Destroy in office upon State Archives of North Carolina approval.	

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>MERIDIAN RECORDS AND INDEX</b> Records of the testing of surveyors' instruments. Includes date tested, direction and amount of declination from the county meridian line, and signature of the surveyor.	Series discontinued. Transfer to the State Archives of North Carolina.	
27.	<b>MINERAL RIGHTS RECORDS AND INDEX</b>	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends† Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 161-22
28.	<b>MISCELLANEOUS RECORDS AND INDEX</b> Includes tax, school, election and similar records found in the Register of Deeds office.	Destroy in office upon State Archives of North Carolina approval.	

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<b>NOTARIES PUBLIC RECORDS AND INDEX</b> Record of Notaries Public. Includes name and signature of the notary, effective date and expiration date of commission, date oath was administered and date of any revocation or resignation. Also includes certificates and transmittals (oath sheets) received from the Notary Public Section, NC Department of Secretary of State.	a) Retain "Record of Notaries Public" in office permanently. b) Return "white" copy of transmittal to Notary Public Section once applicant takes oath and receives certificate. c) Destroy in office "yellow" copy of transmittal and orders for revocation or resignation when administrative value ends. † Agency Policy: Destroy in office after <u>5 years</u> d) Return transmittals for applicants failing to appear within 90 days to Notary Public Section.	G.S. § 10A-8 G.S. § 10A-13
30.	<b>OFFICIAL RECORD BOOK AND INDEX</b> In some offices recorded records (instruments) are compiled in one "official record book", while other offices compile each type separately. These combined books may include deeds, deeds of trust, armed forces discharges, powers of attorney, satisfactions, withdrawals, transfers, releases, contracts, condemnation, corporations, bankruptcies, farm names, farmland districts, timber marks, historic landmarks, waste disposals, renunciations, tax waivers, exemptions orders, etc.	a) Retain official copies in office permanently. b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval. c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina. d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends† Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 161-14 G.S. § 161-18 G.S. § 161-22

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	PARTNERSHIPS AND ASSUMED NAMES RECORDS AND INDEX	<p>a) Retain official copies in office permanently.</p> <p>b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.</p> <p>c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.</p> <p>d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends<sup>†</sup>  Agency Policy: Destroy in office after <u>10 years</u></p>	G.S. § 66-68 through 69

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<b>PETROLEUM LEASES REGISTER</b> Records indicating the leases which have been renewed for the ensuing year by every person, firm or corporation holding petroleum leases within the county.	a) Retain official copies in office permanently. b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval. c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina. d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends <sup>†</sup> Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 113-414
33.	<b>PLATS, MAPS, AND INDEX</b>	a) Retain official copies in office permanently. b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval. c) Original records returned to the office as undeliverable or else not collected after registration may be transferred to the State Archives after 20 years.	G.S. § 47-30

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
34.	<b>REGISTRATION OF TITLES (TORRENS ACT) AND INDEX</b> Register of certificates of title to real estate established by judgments of the Superior Court under the Torrens Act.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends.† Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 43-13
35.	<b>STRAYS, RECORD OF</b> Notices of discovery of lost livestock, with reports of commissioners appointed to determine reimbursement to the finder for care of the animal.	Series transferred to County Sheriff Office. Destroy in office upon State Archives of North Carolina approval.  <i>Retention note: Records may contain historical value. Contact the State Archives of North Carolina before destroying.</i>	G.S. § 68-18.1  Session Law 2012-18

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	SURVEYS, RECORD OF AND INDEX	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>10 years</u>	
37.	<b>TEMPORARY INDEX</b> Temporary index used by office until records are registered and entered into the permanent index.	Destroy in office when administrative value ends <sup>†</sup> Agency Policy: Destroy in office after <u>31 days</u>  <i>Retention Note: Registered records are to be entered into a permanent index within 30 days after the date of presentation.</i>	G.S. § 161-14

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
38.	<b>TIMBER MARKS AND INDEX</b> Copies of letters, figures, or words identifying timber trademarks of any person or business within the county.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.  c) Original records returned to the office as undeliverable or else not collected after registration prior to 1920 may be transferred to the State Archives of North Carolina.  d) Original records returned to the office as undeliverable or else not collected after registration date 1920 or later may be destroyed in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>10 years</u>	G.S. § 80-16
39.	<b>UNIFORM COMMERCIAL CODE</b>	a) Retain all filings recorded with real property records permanently.  b) Destroy in office after July 1, 2008 all filings which were effective on July 1, 2001.  c) Destroy in office all filings not covered in a) and b) when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>7 years</u>	G.S. § 25, Article 9

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	<b>VITAL RECORDS: AMENDMENTS</b> Records submitted as evidence to amend, correct, or replace a birth or death certificate issued by the Office of Vital Records.	a) Destroy in office 1 year after amendment and/or correction was approved, or request was denied or withdrawn.  b) Return to Office of Vital Records copies of certificates involving adoptions, legitimations, or other registrants when a new certificate is received.	G.S. § 130A, Article 4 G.S. § 48-9-107(d) 15A NCAC 19H sections .0900, .1000 and .1100
41.	<b>VITAL RECORDS: APPLICATIONS FOR CERTIFIED COPIES</b> Application forms completed by persons seeking certified copies of birth, death or marriage certificates.	a) Destroy in office 1 year from date of request if copies are issued and/or received by requestor.  b) Destroy in office 3 years from date of request if copies are not issued and/or received by requestor.	G.S. § 130A, Article 4
42.	<b>VITAL RECORDS: BIRTHS AND INDEX</b> Official copies of birth certificates deposited with the Register of Deeds by the local Health Department.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	
43.	<b>VITAL RECORDS: DEATHS AND INDEX</b> Official copies of death certificates deposited with the Register of Deeds by the local Health Department. Original records are filed with the Office of Vital Records.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 130A, Article 4

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ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
44.	<b>VITAL RECORDS: DELAYED BIRTHS AND INDEX</b> Official copies of certificates registering the birth of a person born in this state, but not registered within one year after birth. Original records are filed with the Office of Vital Records.	a) Retain official copies in office permanently.  b) Records and indexes which have been transcribed or otherwise duplicated may be destroyed in office upon State Archives of North Carolina approval.	G.S. § 130A, Article 4
45.	<b>VITAL RECORDS: DELAYED BIRTH APPLICATION RECORDS</b> Applications and other records submitted as evidence in support of a delayed registration of birth. Copies are filed with the Office of Vital Records.	a) Destroy in office after 1 year applications and supporting documentation for a non-completed registration.  b) Destroy in office after 1 year applications and supporting documentation for a completed registration (certificate was approved).	G.S. § 130A, Article 4 15A NCAC 19H .0400
46.	<b>VITAL RECORDS: REPORT OF DEATHS OCCURRING OUTSIDE OF COUNTY</b> Reports of deaths occurring outside the county of birth received from the Office of Vital Records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after <u>1 year</u>	G.S. § 130A, Article 4
47.	<b>WEBSITE (REGISTER OF DEEDS), REAL ESTATE CONVEYANCE</b>	Retain in office permanently.	
48.	<b>WEBSITE (REGISTER OF DEEDS), REQUEST TO REDACT PERSONAL INFORMATION</b> Forms and related records documenting a person's request to have personal information removed from the office's publicly available website.	Retain in office permanently.	G.S. § 132-1.10 (f)

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**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**

- |   |                       |            |                   |
|---|-----------------------|------------|-------------------|
| <input type="checkbox"/> Add a new item             | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Delete an existing item    | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Change an retention period | 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



## REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**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 \_\_\_\_\_

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

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

Approved by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature (Requestor's supervisor) Date

Concurred by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date



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

*If you have questions, call (919) 814-6900 and ask for the Records Management Analyst assigned to your agency.*

This form is used to request approval from the Department of 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>		

Record Series Title A group of records as listed in records retention schedule	Description of Records Specific records as referred to in-office	Inclusive Dates (1987-1989; 2005-present)	Approx. Volume of Records (e.g. "1 file cabinet," "5 boxes")	Retention Period 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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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## LOCAL HEALTH DEPARTMENTS



Issued By:



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

March 1, 2019

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## **Local Health Departments Records Retention and Disposition Schedule**

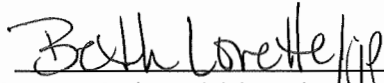
The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. This agency-specific records schedule should be used in concert with the current Local Government Agencies General Records Retention and Disposition Schedule to provide full records management guidance. 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 the Department of 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."*

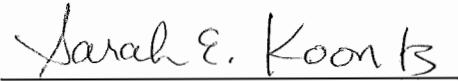
The local government agency and the Department of Natural and Cultural Resources concur that the long-term and/or permanent preservation of electronic records requires additional commitment and active management by the agency. The agency agrees to comply with all policies, standards, and best practices 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**

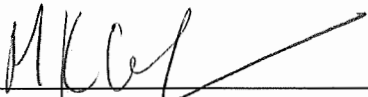


Beth Lovette, Division Director (Acting)  
DHHS, Division of Public Health



Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**



Mandy K. Cohen, MD, MPH, Secretary  
Department of Health and Human Services



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

**ACKNOWLEDGED (AGREED TO COMPLY)**

\_\_\_\_\_  
Local Health Director

\_\_\_\_\_  
Chair, Local Board of Health or Board of  
County Commissioners

\_\_\_\_\_  
County

March 1, 2019

## EXECUTIVE SUMMARY

- ✓ According to G.S. § 121-5(b) and G.S. § 132-3, you may destroy public records only 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 instruction "destroy when reference value ends."
- ✓ This schedule applies to the records of county health departments, multi-county district health departments, and county public health authorities, and to the health records of county consolidated human services agencies.
- ✓ 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 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 halide 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.
- ✓ There are numerous locations in the North Carolina General Statutes and the North Carolina Administrative Code that list responsibilities of local health departments along with written policies that should be developed and implemented. See, for example:

- G.S. 130A: Public Health
  - 10A NCAC 41: Epidemiology Health
  - 10A NCAC 46: Local Standards
  - 10A NCAC 48: Local Health Department Accreditation
  - 15A NCAC 18: Environmental Health
- ✓ Information about policies and procedures required by the Privacy Rule of the Health Insurance Portability and Accountability Act (HIPAA) can be found in 45 CFR Parts 160 and 164.

## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

---

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

- A.** This document is a tool for the employees of local government agencies 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.

---

### ***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.
- 

### ***Q. Am I required to have all 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.
- 

### ***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.
- 

### ***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.

The Department of Natural and Cultural Resources (DNCR) is charged by the General Assembly with the administration of a records management program (N.C.G.S. §121-4 (2) and §132-8.1) and the maintenance of “a program for the selection and preservation of public records considered **essential** to the operation of government and to the **protection of the rights and interests of persons**” (§132-8.2). Permanent records with these characteristics require preservation duplicates that are human-readable (paper or microfilm). Some examples of these characteristics include:

- Affect multiple people, without regard to relation
- Have significance over a long span of time
- Document governance
- Document citizenship

Examples of records with these characteristics:

- Minutes of governing bodies at the state and local levels are the basic evidence of our system of governance, and are routinely provided for the public to read.
  - Records, such as deeds and tax scrolls, about land document changes in ownership and condition. Counties maintain offices expressly for the purpose of making those records available to the public. Other records in local and state governments document potential public health hazards, such as hazardous materials spills.
  - Adoptions, marriages, and divorces document changes in familial relationships and document citizenship. Though adoptions are confidential (not available for public inspection), they document citizenship and changes in inheritance and familial succession.
  - Court records, such as wills, estates, and capital cases, affect people within and across family groups, are made available for public inspection, and often involve transactions related to the examples above.
- See the Human-Readable Preservation Duplicates policy issued by the North Carolina Department of Natural and Cultural Resources (<https://archives.ncdcr.gov/documents/human-readable-preservation-duplicates>) and check with a records analyst to determine whether your permanent records require a preservation duplicate.

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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 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 ACTION

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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 Local Government General Records Schedule, Standard 1, Audits: Performance and Standard 2, Audits: Financial.) 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 characteristics, 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 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

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

- Drafts and working papers for presentations, workshops, and other explanations of agency policy that are already formally documented.

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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:

<https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

## USING THE LOCAL HEALTH DEPARTMENTS RECORDS RETENTION SCHEDULE

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

### LEGEND



– 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.

**AUDITS: PERFORMANCE**  
Records concerning internal and external audits conducted to assess the function of government programs. Includes reports, working papers, corrective measures, and other related records.  
  
See also **AUDITS: FINANCIAL**, page 20, item 6.

Sample records series title and description with cross-reference included

## NC DHHS RECORDS RETENTION SCHEDULE FOR GRANTS

Local health departments must retain all records of programs funded by federal sources until the NC DHHS Office of the Controller provides notification that the records may be destroyed. The NC DHHS Office of the Controller provides this notification with the North Carolina Department of Health and Human Services Records Retention and Disposition Schedule for Grants (DHHS Records Schedule for Grants), published on the DHHS Office of the Controller’s website at <https://www.ncdhhs.gov/about/administrative-offices/office-controller/records-retention>.

You must use this Local Health Departments Records Retention and Disposition Schedule in conjunction with the DHHS Records Schedule for Grants. You must retain all financial and programmatic records, supporting documents, statistical records, and other records pertinent to a federal award in accordance with the DHHS Records Schedule for Grants. This Local Health Departments Records Retention and Disposition Schedule includes the following disposition language for records series that require notification by the NC DHHS Office of the Controller prior to destruction of records:

Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions.

The DHHS Records Schedule for Grants lists by funding source and state fiscal year the earliest date that records may be destroyed. You must know the federal funding sources that support the specific records in question. For each record, identify:

- The programs covered in the record;
- The records retention and disposition instructions;
- How those programs are funded; and
- If federally funded, whether the federal funding sources have been cleared for disposition by the DHHS Records Schedule for Grants.

When there is a discrepancy between this schedule and the DHHS Records Schedule for Grants, you must use the longer retention period.

***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 viii.***

**STANDARD 10: PROGRAM OPERATIONAL RECORDS – ADULT HEALTH RECORDS**

Public health records created or received in local health departments and used to manage and monitor adult health programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 10: ADULT HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADULT DAY CARE AND ADULT DAY HEALTH PROGRAM MONITORING RECORDS</b> Monitoring reports and standard reviews written by public health nurses (PHNs) who monitor clients and employees for compliance with health-related standards in licensed Adult Day Health Centers.	a) Send original monitoring reports and standard reviews to county social services agency. b) Send copies of monitoring reports and standard reviews to NC DHHS, Division of Aging and Adult Services, Adult Day Care Consultant. c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> d) Destroy in office remaining records after 5 years.*	Retention: NC DHHS, Division of Aging and Adult Services, Adult Day Health Services Certification Procedures Manual

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 10: ADULT HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<b>ADULT HEALTH PROGRAM RECORDS</b> Records documenting contacts between adult health services and individuals served by the local health department.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	
3.	<b>BREAST AND CERVICAL CANCER CONTROL PROGRAM (BCCCP) AND NC WISEWOMAN RECORDS</b> Records concerning breast and cervical cancer screenings, screening follow-ups, cardiovascular disease screenings, and life habit improvement assistance for prevention of cardiovascular and other chronic diseases for eligible women.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 6 years.*	

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 10: ADULT HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>CHRONIC DISEASE PROGRAM RECORDS</b> Records concerning chronic disease early detection and referral, patient education, monitoring, treatment, and follow-up activities. May include program procedures, statistical summaries, chronic disease services reports, and other related records.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	
5.	<b>FAMILY PLANNING RECORDS</b> Records documenting contacts between family planning services and with individuals served by the local health department.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

**STANDARD 11: PROGRAM OPERATIONAL RECORDS – ALL HEALTH DEPARTMENT PROGRAMS**

Public health records created or received in local health departments and used to manage and monitor federal, state, and local programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>CLINICAL POLICIES AND PROCEDURES</b>  See also <b>ELECTRONIC PROTECTED HEALTH INFORMATION (ePHI) SECURITY IMPLEMENTATION RECORDS</b> , page 5, item 4.	Retain in office permanently.	
2.	<b>CLINICAL RECORD AUDITS</b> Internal and external audit summaries and findings. Includes associated supporting records.  See also Local Government General Records Schedule, Standard 2, Audits: Financial.	a) Medicare/Medicaid audits: Destroy in office after 5 years and when all findings have been resolved.*  b) All other audits: Destroy in office after 3 years and when all findings have been resolved.*	
3.	<b>COMMUNITY HEALTH ASSESSMENTS</b> Also includes interim State-of-the-County's Health (SOTCH) Reports.	a) Retain in office official copy of community health assessment permanently.  b) Destroy in office interim reports after completion of next community health assessment.	Authority: 10A NCAC 48B .0201

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.



ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>ELECTRONIC PROTECTED HEALTH INFORMATION (ePHI) SECURITY IMPLEMENTATION RECORDS</b> Policies, procedures, and records of actions, activities, and security risk analyses undertaken to ensure ePHI is secure from unauthorized access in compliance with the HIPAA Security Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Retention: 45 CFR 164.316
5.	<b>ENCOUNTER FORMS</b> Forms, including triage logs, used to summarize contacts between department staff and clients.	Destroy in office after 3 years.*	
6.	<b>FEE SCHEDULES</b> Billing guides, fee plans, and schedules of fees charged for services.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  b) Destroy in office remaining records 5 years after superseded.*	Authority: G.S. § 130A-39(g) G.S. § 130A-45.3(a)(5) G.S. § 153A-77(d)(1)
7.	<b>PATIENT APPOINTMENT AND SCHEDULING RECORDS</b>	Destroy in office when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>3 years</u>	
8.	<b>PATIENT DEMOGRAPHIC DATA REPORTS</b> Reports summarizing demographic data for patients in programs.	a) Retain reports with historical value permanently.  b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.	

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

<sup>†</sup> 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>PATIENT SELF-HISTORIES AND RECEIVED MEDICAL RECORDS</b> Preliminary medical information collected concerning patients served by the local health department. May include patient self-histories and health surveys, including family medical histories, known health conditions, and allergies; copies of medical records; and referrals received from other agencies.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Comply with agency policy for patient notification. If unable to locate patient, destroy in office when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>3 years</u>	
10.	<b>PROGRAM TIME AND ACTIVITY REPORTS</b> Reports and related records documenting activities of personnel for all program areas.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
11.	<b>PROTECTED HEALTH INFORMATION (PHI) ACCESS RECORDS</b> Records documenting client requests for or restrictions of access to PHI required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Retention: 45 CFR 164.530(j)(2)
12.	<b>PROTECTED HEALTH INFORMATION (PHI) AMENDMENT REQUEST RECORDS</b> Records documenting client requests for amendment of PHI required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Authority: 45 CFR 164.526(d)(4)  Retention: 45 CFR 164.530(j)(2)

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

<sup>†</sup> 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>PROTECTED HEALTH INFORMATION (PHI) DISCLOSURE RECORDS</b> Records documenting disclosures of PHI required by the HIPAA Privacy Rule. Includes disclosure log.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Authority: 45 CFR 164.508  Retention: 45 CFR 164.528(a)(1)
14.	<b>PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES RECORDS</b> Policies, procedures, and related records documenting safeguards for privacy of PHI required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Authority: 45 CFR 164.520  Retention: 45 CFR 164.530(j)(2)
15.	<b>PROTECTED HEALTH INFORMATION (PHI) PRIVACY PRACTICES VIOLATION RECORDS</b> Records documenting complaints received concerning privacy policies and procedures required by the HIPAA Privacy Rule.	Destroy in office 6 years from date of creation or 6 years from date when applicable documentation was last in effect, whichever is later.	Retention: 45 CFR 164.530
16.	<b>PUBLIC HEALTH EMERGENCY PREPAREDNESS AND RESPONSE RECORDS</b> Records concerning rapid response to public health emergencies and involvement with county and regional emergency planning. File includes public health preparedness and response plans.	a) Retain records with historical value permanently. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 6 years.*	

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>PUBLIC HEALTH PROBLEM SURVEILLANCE RECORDS</b> Records concerning surveillance and investigation of public health hazards, problems, and threats. File includes received reports, health alerts, advisories, and other related records.  See also Local Government General Records Schedule, Standard 8, Disaster and Emergency Management Plans.	a) Retain records with historical value permanently. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 6 years.*	
18.	<b>QUALITY ASSURANCE RECORDS</b> Quality assessments of local health department programs. Includes resource materials, procedures, program self-assessments, state monitoring reports of findings, corrective action plans, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 6 years.*	
19.	<b>SATISFACTION ASSESSMENT SURVEY RESPONSES</b> Client survey response sheets for all programs.	Destroy in office survey response sheets 6 months after survey due date or date of any follow-up inquiry.	Authority: 10A NCAC 48B .1001
20.	<b>SCREENING AND REFERRAL RECORDS</b> Records of screenings, consultations, and referrals conducted by local health department staff in all programs.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 11: ALL HEALTH DEPARTMENT PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<b>STANDING ORDERS</b> Includes pre-printed and electronic standing orders, order sets, and protocols for patient orders.  See also Local Government General Records Schedule, Standard 5, Delegation of Authority Records.	Destroy in office 3 years after superseded or obsolete.	
22.	<b>STATISTICAL REPORTS</b> Agency statistical studies and reports. Includes statistical and surveillance reports from state Health Information System (HIS) and local health department electronic health record (EHR) systems.	a) Retain reports with historical value permanently. b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.	
23.	<b>STERILIZATION RECORDS</b> Records concerning mechanical, chemical, and biological sterilization and disinfection. Includes monitor notebooks and sterilizer logs and tests.	Destroy in office after 3 years.	
24.	<b>VACCINE PROGRAM MANAGEMENT RECORDS</b> Forms, reports, and policies required to document the storage, handling, transfer, and inventorying of vaccines.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	



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**STANDARD 12: PROGRAM OPERATIONAL RECORDS – ANIMAL CONTROL PROGRAMS**



Public health records created or received in local health departments and used to manage and monitor animal control programs.

ITEM #	STANDARD 12: ANIMAL CONTROL PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACTIVITY REPORTS</b> Daily, weekly, and monthly reports providing statistics regarding complaints answered, dogs and cats impounded, impounded animals disposed of, vaccinations, and animal bites reported.	a) Retain reports with historical value permanently. b) For remaining reports, follow disposition instructions for Local Government General Records Schedule, Standard 1, Reports and Studies.	
2. 	<b>ANIMAL ABUSE AND CRUELTY CASES</b> Includes complaints, citations, compliance orders, and similar records.	Destroy in office after 5 years.*	Confidentiality: G.S. § 132-1.4
3.	<b>ANIMAL ADOPTION RECORDS</b> Includes pre-adoption records and agreements.	Destroy in office after 2 years.	
4.	<b>ANIMAL BITE REPORTS</b> Reports detailing animal bites investigated by, or reported to, local health departments.  See also <b>DANGEROUS ANIMALS RECORDS</b> , page 11, item 10.	Destroy in office after 3 years.*	Authority: G.S. § 130A-196
5. 	<b>ANIMAL COMPLAINTS</b> Includes complaints of nuisance animals.  See also <b>DANGEROUS ANIMALS RECORDS</b> , page 11, item 10.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD 12: ANIMAL CONTROL PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>ANIMAL CONTROL CITATIONS AND COMPLIANCE ORDERS</b> Includes citations and compliance orders issued to animal owners of violations of county ordinances.  See also <b>DANGEROUS ANIMALS RECORDS</b> , page 11, item 10.	Destroy in office after 3 years.*	
7.	<b>ANIMAL LICENSE RECORDS</b> Records concerning the payment of license fees.	Destroy in office after 3 years.*	
8.	<b>CERTIFICATES OF ANIMAL RELEASE</b> Certificates verifying health of animals examined and released by local health department.	Destroy in office 1 year after animal is released.	Retention: 02 NCAC 52J .0103
9.	<b>CONTROLLED SUBSTANCE EUTHANASIA LOG</b> Includes amount of controlled substance used and animals destroyed.	Destroy in office after 2 years.	Retention: 21 CFR 1304.03
10.	 <b>DANGEROUS ANIMALS RECORDS</b> Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals. (See G.S. § 67-4.1 for a definition of “dangerous dog” and “potentially dangerous dog.”)	Destroy in office records concerning dangerous animals until known dead or after 10 years.*	Confidentiality: G.S. § 132-1.4
11.	 <b>HISTORIES OF PET OWNERS</b> Records concerning information for each animal owner that violates the county ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office after 3 years.*	Confidentiality: G.S. § 132-1.4

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ITEM #	STANDARD 12: ANIMAL CONTROL PROGRAMS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>OWNER CONTACT NOTICE RECORDS</b> Records concerning attempts to contact owners of animals impounded at animal shelter.	Destroy in office 1 year from date of contact.	
13.	<b>SHELTER DISPOSITION RECORDS</b> Records on each animal processed by the animal shelter. Records contain information on whether animal is reclaimed by the owner, adopted, or euthanized.	Destroy in office 1 year after animal is released or euthanized.	Authority: G.S. § 19A, Article 3 02 NCAC 52J .0100  Retention: 02 NCAC 52J .0103
14.	<b>VACCINATION RECORDS</b> Includes rabies vaccination certificates sent to county animal control by area veterinarians.	Destroy in office after 3 years.	Authority: G.S. § 130A-189

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**STANDARD 13: PROGRAM OPERATIONAL RECORDS – BUSINESS OFFICE AND PATIENTS’ FINANCIAL RECORDS**

Public health records concerning Medicare and Medicaid disbursements, insurance claims and payments, and other financial activities for patients served by local health departments. See the Local Government Agencies General Records Retention and Disposition Schedule, Standard 2: Budget, Fiscal, and Payroll Records for the disposition of records concerning office operational financial activities.

In accordance with G.S. § 131E-97, all charges, accounts, credit histories, and other personal financial records maintained by public health care facilities in connection with admission, treatment, and discharge of individual patients are confidential and exempt from public inspection as outlined in G.S. § 132-6.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS’ FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCOUNTS RECEIVABLE: CLINICAL SERVICES</b> Patient payments; filings to private insurance, Medicare, and Medicaid; aged accounts receivable reports; and other related records. Includes receipts, remittance advice, and other records that document payments received from patients and insurance agencies.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	
2.	<b>ADJUSTED PATIENT ACCOUNTS</b> Records of adjustments to patients’ bills and insurance claims.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	

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ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>CONSOLIDATED AGREEMENT</b> Consolidated agreement and agreement addenda between local health department and NC DHHS, Division of Public Health concerning requirements for distribution of state and federal funds.	Destroy in office 5 years after annual financial report is filed.*	
4.	<b>COST REPORTS</b> Reports and supporting documentation summarizing costs incurred for administration of programs.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
5.	<b>DEBT SETOFF PROGRAM RECORDS</b> Records concerning accounts sent to NC Debt Setoff Program for collection. Includes returned mail to patients being notified of submission.	Destroy in office after total debt is paid or after 10 years.	Authority: G.S. § 105A
6.	<b>ELIGIBILITY DETERMINATION RECORDS</b> Records concerning financial eligibility of local health department clients for payment programs.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>3 years</u>	Authority: 10A NCAC 45A .0202

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ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>INSURANCE CLAIMS</b> Includes Medicare, Medicaid, and insurance carrier claim forms and records, including schedule of payments, copies of claim, listing of invalid or rejected claims, payment list, and list of checks received.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
8.	<b>INSURANCE PENDING REPORTS</b> Reports and supporting documentation summarizing unpaid insurance claims.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
9.	<b>MEDICARE DISBURSEMENT REPORTS</b> Reports and supporting documentation summarizing funds received from Medicare and the accounts to which they are posted.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	
10.	<b>MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS</b> Financial records related to Part D drug plans administered by the local health department. Includes remittance advice records.  See also <b>MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS</b> , page 41, item 8.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 10 years.*	Retention: 42 CFR 423.505(d)

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ITEM #	STANDARD 13: BUSINESS OFFICE AND PATIENTS' FINANCIAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>PATIENT REFUND RECORDS</b> Reports, logs, and supporting documentation summarizing refunds issued to patients and insurance agencies.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	
12.	<b>SUPERBILLS</b> Summaries of charges to client for clinical services with codes for services received. File includes electronic superbills (ESBs).	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 6 years.*	


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**STANDARD 14: PROGRAM OPERATIONAL RECORDS – COMMUNICABLE DISEASE CONTROL RECORDS**


Public health records created or received in local health departments and used to manage and monitor communicable disease control programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 14: COMMUNICABLE DISEASE CONTROL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<b>COMMUNICABLE DISEASE OUTBREAK INVESTIGATION RECORDS</b> Records concerning actions taken by local health directors and public health nurses to control the spread of a communicable disease. Includes copies of letters of notification of exposure sent out to child care facilities, restaurants, etc., outbreak summary reports, after action reports, and other related records.	a) Enter all required information for cases and contacts into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents that are part of the investigation should be attached to the corresponding outbreak event in NC EDSS for retention; NC EDSS records are not scheduled for expiration or destruction at this time. Paper records may be destroyed once pertinent information is entered into NC EDSS. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office after 10 years paper records not entered into NC EDSS.*	Authority: G.S. § 130A-140 10A NCAC 41A .0103  Confidentiality: G.S. § 130A-143

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ITEM #	STANDARD 14: COMMUNICABLE DISEASE CONTROL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2. 	<b>COMMUNICABLE DISEASE REPORTS</b> Part 1 and Part 2 communicable disease report forms, morbidity forms, supplemental surveillance forms, and other related records concerning reports of communicable diseases and information on patients' risk factors. Also includes reports of viral hepatitis and sexually transmitted diseases (STDs)/sexually transmitted infections (STIs).	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents that are part of the investigation should be attached to the corresponding outbreak event in NC EDSS for retention; NC EDSS records are not scheduled for expiration or destruction at this time. Paper records may be destroyed once pertinent information is entered into NC EDSS.  b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  c) Destroy in office after 10 years paper records not entered into NC EDSS.*	Authority: G.S. § 130A-140 10A NCAC 41A .0103  Confidentiality: G.S. § 130A-143  Retention: NC DHHS, Division of Public Health Communicable Disease Manual

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**STANDARD 15: PROGRAM OPERATIONAL RECORDS – ENVIRONMENTAL HEALTH RECORDS**

Public health records created or received in local health departments and used to manage and monitor environmental health programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ENVIRONMENTAL HEALTH PERMITS</b> Records concerning permits for child care facilities, public swimming pools, tattoo parlors, private drinking water wells, and other inspected permittees under the jurisdiction of the environmental health program.	Destroy in office 3 years after expiration, inactivation, or revocation.	Authority: G.S. § 87-97 15A NCAC 02C .0300 15A NCAC 18A
2.	<b>FOOD AND LODGING MAPS, PLANS, AND BLUEPRINTS</b> Records concerning new food service and lodging establishments submitted for review and approval to environmental health program prior to construction.	Destroy in office after 1 year.	
3.	<b>FOOD AND LODGING PERMIT ACTIONS</b> Records concerning the application and permit process for food and lodging establishments. Includes new, transitional, expired, revoked, or suspended permits.	a) Initial and new permits: Destroy in office 3 years after revocation or disapproval. b) Transitional permits: Destroy in office 3 years after new permit application approved or expiration occurs. c) Suspended permits: Destroy in office 3 years after date of suspension or disapproval.	

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>FOOD, LODGING, INSTITUTIONAL SANITATION, AND PUBLIC SWIMMING POOLS AND SPAS INSPECTION RECORDS</b> Records concerning environmental health inspections. Includes inspection reports, listings of violations, compliance reports, and other related records.	Destroy in office 3 years after resolution of any violations and closure of report.*	
5.	<b>INSPECTION SUMMARIES</b> Summaries of inspections of establishments whose business impacts environmental health.	a) Destroy in office 3 years after date records were created while establishment is in operation. b) Destroy in office 1 year after establishment ceases operation.	
6.	<b>LABORATORY REPORTS</b> Laboratory reports showing results of environmental health tests.	Destroy in office after 3 years.	
7.	<b>LEAD POISONING PREVENTION RECORDS</b> Records concerning childhood lead poisoning prevention programs. Includes examination and testing results, investigation case files, copies of medical records, remediation plans, and other related records.	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS). Any documents part of the investigation should be attached to the corresponding outbreak event in NC EDS for retention. Paper records may be destroyed once pertinent information is entered into NC EDSS. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office paper records not entered into NC EDSS after 10 years.*	Authority: G.S. § 130A, Article 5, Part 4 15A NCAC 18A .3100

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>METHAMPHETAMINE LABS DECONTAMINATION RECORDS</b> Records concerning decontamination activities.	Destroy in office 3 years after documented decontamination is complete.	Retention: 10A NCAC 41D .0104
9.	<b>WASTEWATER COLLECTION, TREATMENT, AND DISPOSAL REGULATION RECORDS</b> Records concerning enforcement of permit requirements and wastewater disposal/dispersal regulations. Includes inspections and corrective actions in cases of complaints and illnesses associated with wastewater.	Destroy in office 3 years after implementation of corrective action.*	
10.	<b>WASTEWATER DISPERSAL SUBDIVISION SYSTEM RECORDS</b> Records concerning wastewater dispersal/disposal systems for subdivisions. Includes plans, applications for permits, and other related records.	Destroy in office when system is no longer in use and the system has been properly abandoned or when system is connected to an approved public or community system.	
11.	<b>WASTEWATER DISPERSAL SYSTEM APPLICATIONS - IMPROVEMENT PERMIT AND CONSTRUCTION AUTHORIZATION PERMIT</b> Includes the entirety of the application including wastewater system site plans and plats indicating location of septic tanks, drain fields, other plans and specifications, and site evaluations.	a) Transfer applications for which a permit is issued to <b>WASTEWATER DISPERSAL SYSTEM IMPROVEMENT PERMITS AND CONSTRUCTION AUTHORIZATION PERMITS</b> , page 22, item 13. b) Destroy in office denied applications 3 years after denial. c) Destroy in office remaining applications 1 year after expiration of application period.	

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ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>WASTEWATER DISPERSAL SYSTEM ENGINEERED OPTION PERMITS</b> Includes notices of intent, inspection reports, engineer's reports, operations and management programs, and other related records.	Destroy in office when permit is revoked, or the system is no longer in use and the system has been properly abandoned, or the facility is connected to an approved public or community system.	Authority: G.S. § 130A-336.1 15A NCAC 18A .1971
13.	<b>WASTEWATER DISPERSAL SYSTEM IMPROVEMENT PERMITS AND CONSTRUCTION AUTHORIZATION PERMITS</b> Includes the entirety of the permit including applications, wastewater system site plans and plats indicating location of septic tanks, drain fields, other plans and specifications, and site evaluations. Includes expiring and non-expiring permits, as well as permits subject to the 2017 Permit Extension Act.	a) Transfer permits that result in the issuance of an operation permit to <b>WASTEWATER DISPERSAL SYSTEM OPERATION PERMITS</b> , page 22, item 14. b) Destroy in office revoked permits 3 years from date of revocation. c) Destroy in office remaining permits issued between January 1, 2000 and January 1, 2015 after January 1, 2021. d) Destroy in office remaining expiring permits 1 year after expiration date. e) Destroy in office remaining non-expiring permits when permit is revoked, or the system is no longer in use and has been properly abandoned, or the facility is connected to an approved public or community system.	Authority: G.S. § 130A-336 15A NCAC 18A .1937  Retention: G.S. § 130A-336(b1)
14.	<b>WASTEWATER DISPERSAL SYSTEM OPERATION PERMITS</b> Permit issued to verify wastewater disposal/dispersal systems have been completed according to local health department guidelines and are approved for use.	Destroy in office when permit is revoked, or the system is no longer in use and the system has been properly abandoned, or the facility is connected to an approved public or community system.	Authority: G.S. § 130A-33715A 15A NCAC 18A .1937

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 15: ENVIRONMENTAL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
15.	<b>WATER SUPPLY ON-SITE SANITATION SERVICES RECORDS</b> Records concerning sanitation of individual on-site water supplies. File includes inspections, test results, analyses of water samples, and corrective actions in cases of complaints and illnesses associated with water supplies.	Destroy in office 3 years after implementation of corrective action.*	
16.	<b>WATER SUPPLY REGISTRY – PERMITTED WELLS</b> Registry of all private drinking water wells for which a construction or repair permit was issued. Includes water test results for permitted wells.	a) Retain registry in office permanently. b) Destroy in office water test results upon closure of well.	Authority: G.S. § 87-97 15A NCAC 02C .0307  Retention: G.S. § 87-97(k)
17.	<b>WATER SUPPLY WELL OPERATIONS RECORDS</b> Forms submitted by well contractors concerning construction, abandonment, and repair of private drinking water wells in area of local health department. File includes certifications of completion or abandonment.	Destroy in office when well is no longer in use or when water supply is connected to an approved public or community system.	Authority: 15A NCAC 02C .0114

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

**STANDARD 16: PROGRAM OPERATIONAL RECORDS – HEALTH EDUCATION RECORDS**

Public health records created or received in local health departments and used to manage and monitor health education programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 16: HEALTH EDUCATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>HEALTH EDUCATION RECORDS</b> Records documenting contacts with individuals receiving health education services. Includes screenings, consultations, and referrals.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	Authority: 10A NCAC 48B .0803
2.	<b>HEALTH PROMOTION TRAINING RECORDS</b> Records concerning health promotion classes and training, including pregnancy prevention, childbirth education, worksite wellness, nutrition counseling, injury control, and tobacco cessation.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	Authority: 10A NCAC 48B .0402

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi. This document is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 16: HEALTH EDUCATION RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>MEDIA AND PUBLIC HEALTH INFORMATION</b> Records concerning information released to media, the public, and appointed and elected officials. Includes copies of public health assessments, requests for health education presentations, public health hotline messages, public health press releases, community health data and health status information, and other related records.  See also Local Government General Records Schedule, Standard 7, Public Relations Records.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records when reference value ends. <sup>†</sup>  Agency Policy: Destroy in office after <u>5 years</u>	Authority: 10A NCAC 48B .0400
4.	<b>SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY TRANSMITTED INFECTION (STI) COUNSELING AND TESTING QUARTERLY REPORTS</b> Records summarizing counseling and testing for HIV/AIDS and other sexually transmitted diseases and infections.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
5.	<b>SEXUALLY TRANSMITTED DISEASE (STD)/SEXUALLY TRANSMITTED INFECTION (STI) EDUCATION REPORTS</b> Records concerning public education and awareness efforts concerning HIV/AIDS and other sexually transmitted diseases and infections.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	

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

<sup>†</sup> 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi. This document is published semiannually by the DHHS Office of the Controller.

**STANDARD 17: PROGRAM OPERATIONAL RECORDS – HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS**

Public health records created or received in local health departments and used to manage and monitor home health and community-based services programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 17: HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>COMMUNITY ALTERNATIVES PROGRAM FOR CHILDREN (CAP/C) CASE RECORDS</b> Includes service plans, NC DHHS authorization forms, service orders, waiver supports, and other related records.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 6 years.*	
2.	<b>COMMUNITY ALTERNATIVES PROGRAM FOR DISABLED ADULTS (CAP/DA) CASE RECORDS</b> Includes service plans, NC DHHS authorization forms, service orders, waiver supports, and other related records.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 6 years.*	

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 17: HOME HEALTH AND COMMUNITY-BASED SERVICES RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>HOME HEALTH ADVISORY COMMITTEE MINUTES</b>  See also Local Government General Records Schedule, Standard 1, Minutes of Public Bodies. See the <b>MICROFILM</b> section on page 61 for instructions on microfilming.	Retain official minutes in office permanently.	
4.	<b>HOME HEALTH PROGRAM RECORDS</b> Records documenting contacts between home health services and individuals served by the local health department. Includes screenings, consultations, referrals, admission and service data, plans of care, and case conferences.	a) If individual receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable.  b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  c) Destroy in office remaining records after 5 years.*	Authority: 10A NCAC 46 .0208 10A NCAC 13J .1400
5.	<b>INSURANCE FOR THE AGED CERTIFICATION</b> Records concerning certification of organizations offering health insurance for the aged.	Destroy in office upon expiration of certification.	
6.	<b>NC STATE LICENSURE CERTIFICATE</b> Proof of licensure by NC DHHS to operate as a home care agency.	Destroy in office upon expiration of certification.	Authority: 10A NCAC 13J .0902


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† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

**STANDARD 18: PROGRAM OPERATIONAL RECORDS – LABORATORY RECORDS**

Public health records created or received in local health departments and used to manage and monitor laboratory programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>EQUIPMENT AND INSTRUMENT MAINTENANCE AND REPAIR FILE</b> Records documenting the proper functioning of equipment. Includes notebooks, logs, and test results.	Destroy in office after 2 years.	Retention: 42 CFR 493.1105(a)(5)
2.	 <b>HIV TEST RECORDS</b> Records and logs documenting the transfer of samples to NC DHHS for HIV test processing. May include test results and patient information.	a) Transfer individual clinical records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	Confidentiality: G.S. § 130A-143
3.	<b>LABORATORY PROCEDURES MANUAL</b> Laboratory test procedures with dates of initial use and discontinuance.	Destroy in office 2 years after date of discontinuance.	Retention: 42 CFR 493.1105(a)(2)

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

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.



ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>MEDICAL EXAMINER RECORDS</b> Records related to the investigation of deaths by the county medical examiner. May include photographs, notes, reference copies of medical records and law enforcement reports, and other related records.	a) Submit final report to DHHS Office of the Chief Medical Examiner. b) Submit certificate of death to the State Registrar of Vital Statistics. c) Destroy in office remaining investigatory materials when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>3 years</u> <i>Retention Note: The offices receiving the final report and the death certificate are the records custodians.</i>	Authority: G.S. § 130A-385
5.	<b>PROFICIENCY TESTING RECORDS</b> 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.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 2 years.*	Retention: 42 CFR 493.1105(a)(4)

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

<sup>†</sup> 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>QUALITY CONTROL RECORDS</b> Records concerning quality control of analytics systems as well as quality system assessment. File includes instrument printouts, analytic systems activities, test system performance specifications, and other related records.	a) Retain in office permanently quality control records for blood and blood products with no expiration dates.* b) Destroy in office quality control records for immunohematology, blood and blood products with expiration dates, and transfusions 10 years after completion of processing or 6 months after expiration date for individual product, whichever is later.* c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> d) Destroy in office remaining records after 2 years.* <i>Retention Note: Retain test system performance specifications for life of test system. Upon disuse of test system, follow disposition instructions above.</i>	Retention: 21 CFR 606.160(d) 42 CFR 493.1105(a)(3) 42 CFR 493.1105(a)(5)
7.	<b>SLIDES, BLOCKS, AND TISSUE</b> Includes cytology slide preparations, histopathology slides, pathology specimen blocks, and tissue remnants.	a) Destroy in office histopathology slides 10 years from date of examination. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 6 years.*	Authority: 42 CFR 493.1105  Retention: 42 CFR 493.1105

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

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ITEM #	STANDARD 18: LABORATORY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>TEST REPORTS</b> Final, preliminary, and corrected test reports concerning test results processed on-site or at another location. File includes immunohematology test reports and pathology test reports.  See also <b>HIV TEST RECORDS</b> , page 28, item 2.	a) Transfer individual clinical records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Retain in office permanently immunohematology test reports for products with no expiration date.* c) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> d) Destroy remaining test reports for immunohematology, blood and blood products, and transfusions 10 years after completion of processing or 6 months after latest expiration date for individual product, whichever is later.* e) Destroy in office remaining pathology test reports after 10 years.* f) Destroy in office all other remaining test reports after 2 years.*	Retention: 21 CFR 606.160(d) 42 CFR 493.1105
9.	<b>TEST REQUISITIONS</b> Includes test authorizations and copies of patients' medical records if used as test requisitions or authorizations.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 2 years.*	Retention: 42 CFR 493.1105

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**STANDARD 19: PROGRAM OPERATIONAL RECORDS – MATERNAL AND CHILD HEALTH RECORDS**


Public health records created or received in local health departments and used to manage and monitor maternal and child health programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADMINISTRATIVE FACILITY INFORMATION (CHILD HEALTH PROGRAM)</b> Includes memorandum of agreement forms, visit narrative notes, facility assessment forms, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  b) Destroy in office remaining records after 5 years.*	
2.	<b>CARE COORDINATION FOR CHILDREN (CC4C) PROGRAM RECORDS</b> Records concerning status of children in CC4C program, including child's name, referral, report date, development status, service status, and other related information. Records created and maintained in NC DHHS, Division of Public Health CC4C Case Management Information System (CMIS).	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  b) Destroy in office remaining records after 5 years.*	

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

† 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.

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ITEM #	STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>CHILD CARE HEALTH CONSULTANT RECORDS (CHILD HEALTH PROGRAM)</b> Records concerning child care health programs administered to child care facilities by local health departments. May include parent and guardian permission slips, child health assessment forms, confidentiality statements, screening forms, and other related records.	a) If child receives clinical services transfer records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 5 years.*	
4.	 <b>CHILD FATALITY PREVENTION TEAM REVIEWS</b> Case reviews submitted by local child fatality prevention teams listing identifying information, summaries, outcomes of reviews, administrative comments, and other related information. File also includes minutes and quarterly reports to board of health.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	Authority: G.S. § 7B-1410  Confidentiality: G.S. § 7B-1413
5.	<b>CHILDREN WITH SPECIAL HEALTH CARE NEEDS SERVICES RECORDS</b> Records concerning services provided to children with special health care needs administered through local health departments.	a) Transfer individual clinical records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and when child reaches 30 years of age and has not received services within the last 10 years. <sup>1</sup> c) Destroy in office remaining records when child reaches 30 years of age and has not received services within the last 10 years.*	

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 19: MATERNAL AND CHILD HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>MATERNAL AND CHILD HEALTH RECORDS</b> Records documenting maternal and child health services offered to individuals within the jurisdiction of the local health department. Includes screenings, consultations, referrals, Sudden Infant Death Syndrome (SIDS) home visit reports, and pregnancy care management services records.	a) Transfer individual clinical records to <b>PATIENT CLINICAL RECORDS</b> , page 36, item 5, as applicable. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and when child reaches 30 years of age and has not received services within the last 10 years. <sup>1</sup> c) Destroy in office remaining records when child reaches 30 years of age and has not received services within the last 10 years.*	
7.	<b>SUDDEN INFANT DEATH SYNDROME (SIDS) PATHOLOGY REPORTS</b> Reference copies of autopsies.	Destroy in office when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <del>5 years</del> after investigation is complete	

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

<sup>†</sup> 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.

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**STANDARD 20: PROGRAM OPERATIONAL RECORDS – PATIENT CLINICAL RECORDS**

Records created or received by local health departments documenting patient care, including x-ray films, consents for medical care, and copies of laboratory reports.

In accordance with G.S. § 131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. § 132-6. Custodians also should be familiar with G.S. § 8-53 concerning confidentiality of communications between physicians and their patients.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>DENTAL PATIENT RECORDS</b> Dental clinical records for patients served by the local health department.	a) Adult patients: Destroy in office 10 years from date of last service.* b) Pediatric patients: Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years. If individual has received services within the last 10 years, follow disposition instructions for adult patients.* c) Deceased patients: Destroy in office 10 years from date of last service.	Authority/Retention: 21 NCAC 16T .0101

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.




ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<b>IMMUNIZATION CONSENT FORMS</b> Consent forms completed by individuals receiving yearly influenza or other inoculations.	a) Transfer consent forms containing immunization information (dose details, etc.) to <b>IMMUNIZATION RECORDS</b> , page 36, item 3. b) Destroy in office remaining consent forms with HIPAA section after 6 years. c) Destroy in office remaining consent forms without HIPAA section after 3 years.	Retention: 45 CFR 164.530(j)(2)
3.	<b>IMMUNIZATION RECORDS</b> Immunization records for patients served by the local health department.	a) Destroy in office immunization records 1 year after entry in the North Carolina Immunization Registry (NCIR). b) Destroy in office immunization records not entered in the NCIR after patient's death and 10 years from date of last service, whichever is later.	Authority: G.S. § 130A-153
4.	<b>MAMMOGRAMS</b>	a) Destroy in office baseline and most recent mammogram 10 years from date of last service.* b) Destroy in office remaining records when superseded.*	
5.	<b>PATIENT CLINICAL RECORDS</b> Clinical records for all patients served by the local health department. Files includes both paper and electronic health records. Also includes x-rays and other diagnostic reports.  See also <b>SEXUALLY TRANSMITTED DISEASES (STD)/SEXUALLY TRANSMITTED INFECTIONS (STI) (CLINICAL) RECORDS</b> , page 37, item 8, and <b>TUBERCULOSIS (CLINICAL) RECORDS</b> , page 38, item 9.	a) Adult patients: Destroy in office 10 years from date of last service.* b) Pediatric patients: Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years. If individual has received services within the last 10 years, follow disposition instructions for adult patients.* c) Deceased patients: Destroy in office 10 years from date of last service.	Retention: G.S. § 1-15

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.




ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6. 	<b>PERINATAL HEPATITIS B PREVENTION REPORT PART I</b> Records tracking the testing and vaccination status of newborns exposed to hepatitis B at birth.	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS) and the North Carolina Immunization Registry (NCIR). b) Destroy in office when individual reaches 30 years of age and has not received services within the last 10 years.*	Confidentiality: G.S. § 130A-143
7. 	<b>PERINATAL HEPATITIS B PREVENTION REPORT PART II</b> Records tracking the testing and vaccination status of contacts of pregnant females who have hepatitis B.	a) Enter required information into the North Carolina Electronic Disease Surveillance System (NC EDSS) and the North Carolina Immunization Registry (NCIR). b) Destroy in office 10 years from date of last service.	Confidentiality: G.S. § 130A-143
8. 	<b>SEXUALLY TRANSMITTED DISEASES (STD)/SEXUALLY TRANSMITTED INFECTIONS (STI) (CLINICAL) RECORDS</b> Clinical records of patients who receive services for sexually transmitted diseases/sexually transmitted infections, including HIV/AIDS.	Destroy in office 10 years after documented determination of cure or after death of patient.	Authority: NC DHHS, Sexually Transmitted Diseases Public Health Program Manual  Confidentiality: G.S. § 130A-143

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ITEM #	STANDARD 20: PATIENT CLINICAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9. 	<b>TUBERCULOSIS (CLINICAL) RECORDS</b> Clinical records for patients with tuberculosis (TB). File also includes summaries of treatment, x-rays, culture results, drug records, counseling, and other related records.	a) Negative test: Destroy in office after 1 year. b) TB infection (no disease): Retain interpretation of most recent x-ray films, TB drug record if treated, and HIV test results if tested for life of patient. Destroy x-ray films 10 years from date of last service. c) TB disease: Retain summary of treatment, most recent x-ray films including interpretations, TB drug record, HIV test results if tested, most recent mycobacterium TB culture result with susceptibilities, and hospital discharge summaries, if any, for life of patient. Destroy all but the most recent x-ray films 10 years from date of last service. d) When patient reaches 90 years of age or is deceased: Destroy records and x-ray films 10 years from date of last service.	Authority: NC DHHS, Tuberculosis Control Program Policy Manual  Confidentiality: G.S. § 130A-143

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**STANDARD 21: PROGRAM OPERATIONAL RECORDS – PHARMACY RECORDS**

Records created or received by pharmacies operating within local health departments. According to 21 NCAC 46 .2508, local health departments may create and maintain pharmacy records digitally, provided that the system can print pharmacy records, protects against unauthorized access to pharmacy records, and is backed up daily.

In accordance with G.S. § 131E-97, all medical records compiled and maintained by public health care facilities are confidential and exempt from public inspection as outlined in G.S. § 132-6. This exemption includes financial records concerning charges, accounts, and credit histories, and other personal financial records. Custodians also should be familiar with G.S. § 8-53 concerning confidentiality of communications between physicians and their patients.

Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADVERSE DRUG REACTION REPORTS</b> Reports to the Food and Drug Administration describing adverse drug reactions.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	
2.	<b>CONTROLLED SUBSTANCES RECORDS</b> Records concerning ordering, receiving, dispensing, and transfer of schedule II, III, IV, and V controlled substances. File includes perpetual inventories, invoices, records of disposition of controlled substances prepared for patients but not used, records documenting controlled substances dispensed directly to patients, and controlled substances returned and credited.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 90, Article 5 21 NCAC 46 .1414 21 NCAC 46 .2502

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>DRUG DISPOSAL RECORDS</b> Records documenting the destruction, 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.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .3001
4.	<b>DRUG INVENTORIES</b> Inventories of controlled and non-controlled substances and prepackaged drugs. File includes inventory reports, ancillary drug cabinet inventories, biennial and annual inventories, perpetual inventories, and similar records used to account for medication compounding and dispensing by pharmacies and locations outside the pharmacy.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .1414 21 NCAC 46 .2513
5.	<b>INTRAVENOUS HOOD PERFORMANCE REPORTS</b> Records of tests conducted on intravenous hoods to ensure a sterile environment.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
6.	<b>MEDICATION ERRORS</b> Records documenting the administration of an incorrect medication or dose. File includes pertinent chronological information, appropriate health care facility forms, and investigative reports including the identity of individual(s) responsible.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Retention: G.S. § 90-85.26 21 NCAC 46 .1414

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ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>MEDICATION STORAGE INSPECTION REPORTS</b> Reports of medication storage areas inspected on a routine basis, including removal of expired or expiring medication.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
8.	<b>MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS</b> Records needed to determine compliance with Part D contracts and regulations, such as copies of prescriptions, claims and purchase records, signature logs, and other related records.  See also <b>MEDICARE PART D PRESCRIPTION DRUG FINANCIAL RECORDS</b> , page 15, item 10.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 10 years.*	Retention: 42 CFR 423.505(e)(4)
9.	<b>PATIENT MEDICATION PROFILES</b> Lists of all prescribed medications for each patient.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .1414

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>PHARMACY AUDIT RECORDS</b> Records documenting periodic audits performed by the NC DHHS, Division of Medical Assistance.  See also Local Government General Records Schedule, Standard 1, Audits: Performance.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 5 years.*	
11.	<b>PHARMACY LICENSES AND PERMITS</b> Licenses, permits, and application records submitted to the NC Board of Pharmacy.	Destroy in office when superseded or obsolete.	Authority: G.S. § 90-85.21 21 NCAC 46 .1601
12.	<b>PHARMACEUTICAL PATIENT COUNSELING AND ASSESSMENT RECORDS</b> Records involving the interpretation and evaluation of a patient's drug therapy or other pharmaceutical care services. File includes on-site drug and medication reviews, collected patient information, and documentation of refusals to receive counseling.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Authority/Retention: 21 NCAC 46 .2504
13.	<b>PRESCRIPTION DISPENSING AND FILLING RECORDS</b> Records documenting the dispensing and filling of prescriptions. Records include dispensing date, quantity dispensed, pharmacist's name, and documentation of satisfaction of state requirements for drug selection. Also includes records of immunizations administered by the pharmacist.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	Authority: 21 NCAC 46 .1414 21 NCAC 46 .2302 21 NCAC 46 .2303 21 NCAC 46 .2304 21 NCAC 46 .2507 21 NCAC 46 .2801

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ITEM #	STANDARD 21: PHARMACY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14. 	<b>PRESCRIPTION ORDERS</b> Prescription orders and refills for controlled and non-controlled substances, other medications, or devices for each patient. File includes date of issuance; patient's name and address; medication name, strength, dosage form, quantity (as well as any refills or stop date), route of administration, and directions for use; and prescriber's name, address, and telephone number (and in the case of controlled substances, DEA number).  See also <b>MEDICARE PART D PRESCRIPTION DRUG PROGRAM RECORDS</b> , page 41, item 8.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 90-85.26 21 NCAC 46 .1803 21 NCAC 46 .1806 21 NCAC 46 .1813 21 NCAC 46 .1816 21 NCAC 46 .2301  Confidentiality: G.S. § 90-85.36  Retention: 21 NCAC 46 .1414
15. 	<b>QUALITY ASSURANCE PROGRAM RECORDS</b> Records concerning the proceedings of a pharmacy quality assurance program as well as the records and materials it produces.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  b) Destroy in office remaining records after 3 years.*	Authority: G.S. § 90-85.47  Confidentiality: G.S. § 90-85.47(d)

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**STANDARD 22: PROGRAM OPERATIONAL RECORDS – RADIOLOGY RECORDS**

Public health records concerning protection from sources of radiation used for medical radiology. Records are created or received in local health departments and used to manage and monitor federal, state, and local programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>QUALITY CONTROL RECORDS</b> Records concerning quality control for radiology programs. File includes surveys, instrument calibrations and quality control tests, leak tests, silver recovery records, quarterly source inventories, and other related records.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  b) Destroy in office remaining records after 3 years.*	Authority/Retention: 10A NCAC 15 .1643

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ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
2.	<b>RADIATION AREA SURVEY RECORDS</b> Area surveys conducted with radiation detection equipment.	a) Retain until termination of each pertinent license requiring the records: records of dosages from external sources used in assessments of individual dose equivalents; records of measurements of individual intakes of radioactive material used in assessments of internal doses; records of air sampling, surveys, and bioassays required pursuant to 10A NCAC 15 .1620(a); and records of measurements of releases of radioactive effluents to the environment. Upon termination, follow disposition instructions below. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 3 years.*	Authority/Retention: 10A NCAC 15 .1637
3.	<b>RADIATION DOSES ADMINISTERED RECORDS</b> Logs or similar records documenting the amount of radiation given to patients.	a) Retain until termination of each pertinent license or registration requiring the records. Upon termination, follow disposition instructions below. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> c) Destroy in office remaining records after 3 years.*	Authority: 10A NCAC 15 .1640

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ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>RADIATION EXPOSURE HISTORY RECORDS</b> Records concerning radiation exposure levels of local health department staff. File includes film badge reports and other related records.	a) Destroy in office records on the agency form for recording occupational radiation dose history or equivalent when the agency terminates each pertinent license or registration requiring this record.  b) Destroy in office after 3 years records used in preparing the agency form for recording occupational radiation dose history.	Authority/Retention: 10A NCAC 15 .1638
5.	<b>RADIATION PROTECTION PROGRAM RECORDS</b> Records and reports documenting inspections by state and federal agencies, consultants, and radiology providers. File includes audit reports, review evaluations, proof of corrective actions taken, and program content and implementation records.	a) Destroy in office records documenting the provisions of the radiation protection program when the agency terminates each pertinent license or registration requiring this record.  b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  c) Destroy in office remaining records after 3 years.*	Retention: 10A NCAC 15 .1636
6.	<b>RADIOACTIVE MATERIALS RECEIPT AND DISPOSAL RECORDS</b> Records and reports concerning the receipt, return, and disposal of radioactive materials. Records list date received and returned, condition of packages, wipe test results, trigger levels, dose rates, names of individuals performing inspections, and other related information.	a) Destroy in office records of the disposal of licensed radioactive materials when the agency terminates each pertinent license or registration requiring this record.  b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>  c) Destroy in office remaining records after 3 years.*	Authority: 10A NCAC 15 .0115 10A NCAC 15 .0362 10A NCAC 15 .1642  Retention: 10A NCAC 15 .0362 10A NCAC 15 .1642

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ITEM #	STANDARD 22: RADIOLOGY RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>RADIOLOGICAL FILM SIGN-OUT RECORDS</b> Records concerning the release of radiological films by a facility for review by another physician. Sign-out records list patient's name, type of film being released, where records were sent, date released, signature of person receiving exams, and other related information.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 3 years.*	
8.	<b>RADIOLOGY EQUIPMENT REGISTRATION</b> Registration information for radiology equipment.	Destroy in office upon final disposition of equipment.	Authority: 10A NCAC 15 .0200

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**STANDARD 23: PROGRAM OPERATIONAL RECORDS – SCHOOL HEALTH RECORDS**


Records concerning health and behavioral support services provided by local health department nurses to students at area schools. Records are created or received in local health departments and used to manage and monitor federal, state, and local programs. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4.

ITEM #	STANDARD 23: SCHOOL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>BEHAVIORAL HEALTH PROGRAM POLICY AND PROCEDURE RECORDS</b> Policies and procedures documenting agency practices in implementing a behavioral health program.	Retain in office permanently.	
2.	<b>BEHAVIORAL HEALTH SERVICES RECORDS</b> Includes selective and indicative prevention service records for local health departments contracted to provide behavioral support services.	Destroy in office when student reaches 30 years of age and has not received services within the last 10 years.*	
3.	<b>BEHAVIORAL REFERRAL RECORDS</b> Records of screenings, consultations, and referrals from other agencies.	a) If student receives clinical services transfer to <b>BEHAVIORAL HEALTH SERVICES RECORDS</b> , page 48, item 2. b) Destroy in office remaining records when reference value ends.† Agency Policy: Destroy in office after <u>5 years after student leaves school through graduation or relocation</u>	
4.	<b>CLIENT APPOINTMENT AND SCHEDULING RECORDS</b> Logs and similar records used to document patient appointments.	Destroy in office when reference value ends.† Agency Policy: Destroy in office after <u>5 years after student leaves school through graduation or relocation</u>	

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

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ITEM #	STANDARD 23: SCHOOL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>SCHOOL HEALTH PROVIDER CONTRACTS</b> Memorandums of agreement and contracts between local health departments and local education agencies outlining each party's responsibilities and duties.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 6 years.*	Authority: NC DHHS, School Health Program Manual
6.	 <b>SCHOOL HEALTH SCREENING RECORDS</b> Records and logs documenting results of vision, blood pressure, hearing, dental, and other screenings conducted by school nurses.  See also <b>SCREENING AND REFERRAL RECORDS</b> , page 8, item 20.	a) Transfer relevant information to Local Education Agency for retention with Local Education Agency's student records. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and student reaches 30 years of age. <sup>1</sup> c) Destroy in office remaining records when student reaches 30 years of age.*	Authority: NC DHHS, School Health Program Manual  Confidentiality: G.S. § 115C-402(e)
7.	<b>SCHOOL HEALTH SERVICES REPORTS</b> Reports listing school enrollments, health services provided by nurses, and similar statistical information. Files includes all reports filed with NC DHHS.	a) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup> b) Destroy in office remaining records after 6 years.*	Authority: NC DHHS, School Health Program Manual

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 23: SCHOOL HEALTH RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8. 	<b>SCHOOL NURSE RECORDS</b> Permanent health records and individual health and nursing records created by school nurse or other health care providers documenting encounters between school nurses and students. File includes narrative notes, forms and worksheets used and completed by nurses during school visits, and copies of medical records from outside providers.	a) Transfer relevant information to Local Education Agency for retention with Local Education Agency's student records. b) Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions and student reaches 30 years of age. <sup>1</sup> c) Destroy in office remaining records when student reaches 30 years of age.*	Authority: NC DHHS, School Health Program Manual  Confidentiality: G.S. § 115C-402(e)



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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

**STANDARD 24: PROGRAM OPERATIONAL RECORDS – VITAL RECORDS**


Public health records created or received in local health departments and used to manage and monitor vital records programs. These are not individual patient clinical records. Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4. Comply with applicable provisions of G.S. § 130A-93(b) regarding confidentiality of birth data.

ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1. 	<b>BIRTH AND DEATH RECORDS</b> Copies of birth and death certificates.  See also <b>BIRTHS AND INDEX</b> , page 51, item 2, and <b>DEATHS AND INDEX</b> , page 52, item 4.	Destroy in office within 2 years.	Authority: G.S. § 130A, Article 4  Confidentiality: G.S. § 130A-93(b)  Retention: G.S. § 130A-97(5)
2. 	<b>BIRTHS AND INDEX</b> Official copies of birth certificates deposited with the Register of Deeds by the local health department. Original records are filed with NC DHHS, Division of Public Health, Vital Records.  <i>Note: County Register of Deeds Office may keep official record.</i>  See also <b>BIRTH AND DEATH RECORDS</b> , page 51, item 1.	a) Transfer original birth certificates to North Carolina Vital Records. b) Transfer official copies to county Register of Deeds. c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	Authority: G.S. § 130A, Article 4  Confidentiality: G.S. § 130A-93(b)

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.


ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>BURIAL TRANSIT PERMITS</b>	Destroy in office after 1 year.	Authority: G.S. § 130A-113
4.	<b>DEATHS AND INDEX</b> Official copies of death certificates deposited with the Register of Deeds by the local health department. Original records are filed with NC DHHS, Division of Public Health, Vital Records.  <i>Note: County Register of Deeds Office may keep official record.</i>  See also <b>BIRTH AND DEATH RECORDS</b> , page 51, item 1.	a) Transfer original death certificates to North Carolina Vital Records. b) Transfer official copies to county Register of Deeds. c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	Authority: G.S. § 130A, Article 4
5.	 <b>DELAYED BIRTH APPLICATION RECORDS</b> Applications and other records submitted as evidence in support of a delayed registration of birth. Copies are filed with NC DHHS, Division of Public Health, Vital Records.  <i>Note: County Register of Deeds Office may keep official record.</i>  See also <b>BIRTHS AND INDEX</b> , page 51, item 2.	a) Destroy in office after 1 year applications and supporting documentation for a non-completed registration. b) Destroy in office after 1 year applications and supporting documentation for a completed registration (certificate was approved).	Authority: G.S. § 130A, Article 4 Confidentiality: G.S. § 130A-93(b)

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.



ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6. 	<b>DELAYED BIRTHS AND INDEX</b> Official copies of certificates registering the birth of a person born in this state, but not registered within one year after birth. Original records are filed with NC DHHS, Division of Public Health, Vital Records.  <i>Note: County Register of Deeds Office may keep official record.</i>  See also <b>BIRTHS AND INDEX</b> , page 51, item 2.	a) Transfer original delayed certificates of birth to North Carolina Vital Records. b) Transfer official copies to county Register of Deeds. c) Records and indexes that have been transcribed or otherwise duplicated may be destroyed in office upon State Archives approval.	Authority: G.S. § 130A, Article 4 10A NCAC 41H .0403-.0406 10A NCAC 46 .0215  Confidentiality: G.S. § 130A-93(b)
7.	<b>DISINTERMENT/REINTERMENT PERMITS</b>	Transfer permits after 5 years for permanent retention to: Records Description Unit Government Records Section NC Department of Natural and Cultural Resources 4615 Mail Service Center Raleigh, NC 27699-4615	Authority: 10A NCAC 41H .0505
8.	<b>NOTIFICATION OF DEATH</b> See also <b>DEATHS AND INDEX</b> , page 52, item 4.	Destroy in office 1 year after death certificate is filed.	Authority: G.S. § 130A-112
9.	<b>VITAL RECORD AMENDMENTS</b> Records submitted as evidence to amend, correct, or replace a birth or death certificate issued by North Carolina Vital Records. Original records are filed with NC DHHS, Division of Public Health, Vital Records.	a) Destroy in office 1 year after amendment and/or correction was approved, or after request was denied or withdrawn. b) Return to North Carolina Vital Records copies of certificates involving adoptions, legitimations, or other registrants when a new certificate is received.	Authority: G.S. § 130A, Article 4 10A NCAC 41H .0900

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<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 24: VITAL RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>VITAL RECORD APPLICATIONS FOR CERTIFIED COPIES</b> Application forms completed by persons seeking certified copies of birth, death, or marriage certificates.	a) Destroy in office 1 year from date of request if copies are issued and/or received by requestor. b) Destroy in office 3 years from date of request if copies are not issued and/or received by requestor.	Authority: G.S. § 130A, Article 4
11.	<b>VITAL RECORDS PROGRAM EDUCATIONAL RECORDS</b> Records documenting vital records education services administered by local health department for local registration personnel, hospital administrators, and their medical records personnel, funeral directors, medical examiners, and others involved in the registration system.	a) Retain records with historical value permanently. b) Destroy in office remaining records when reference value ends. <sup>†</sup> Agency Policy: Destroy in office after <u>5 years</u>	


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

<sup>†</sup> 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

**STANDARD 25: PROGRAM OPERATIONAL RECORDS – WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS**


Public health records created or received in local health departments and used to manage and monitor the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) funded by the U.S. Department of Agriculture. These are not individual patient clinical records (see **PATIENT CLINICAL RECORDS**, page 36, item 5). Comply with applicable provisions of G.S. § 130A-12 and G.S. § 130A-45.8 regarding confidentiality of local health department records that contain privileged patient medical information, information protected under 45 CFR Parts 160 and 164 (Health Insurance Portability and Accountability Act, or HIPAA), or information collected for prevention and control of lead poisoning in children in accordance with G.S. § 130A, Article 5, Part 4. The Crossroads WIC System is considered the system of record, so reports produced out of it are reference copies; see Local Government General Records Schedule, Standard 1, Reference (Reading) File.

ITEM #	STANDARD 25: WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>VOTER REGISTRATION RECORDS</b> Voter registration preference forms, NC voter registration applications, and agency transmittal forms.	a) Transmit original records to county board of elections within 5 business days of obtaining registration preference form.  b) Destroy in office copies of voter registration preference forms and agency transmittal forms after 4 years.	Authority: 52 U.S.C. § 20506
2.	 <b>WIC CROSSROADS RECORDS</b> Records documenting the administration of local WIC programs. File includes administrative, operational, financial, participant, self-assessment, and state monitoring records. Records created and maintained in NC DHHS, Division of Public Health North Carolina (NC) Crossroads WIC System.	All documentation uploaded into the NC DHHS, Division of Public Health, Crossroads WIC System can be destroyed in office after quality control procedures have been completed.	Authority: 7 CFR 246.25  Confidentiality: 7 CFR 246.26

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

ITEM #	STANDARD 25: WOMEN, INFANTS, AND CHILDREN (WIC) RECORDS		
	RECORDS SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3. 	<b>WIC LOCAL RECORDS</b> Records concerning the WIC program that are maintained in office and not uploaded into the Crossroads WIC System. File includes any locally-required documentation such as participant waivers. File also includes vendor applications, monitoring reports, training verification, etc. necessary for administrative reviews.	Destroy records supporting the expenditure of federal funds passed through NC DHHS on a fiscal year basis when the DHHS Office of the Controller provides written guidance that records are released from all audits and other official actions. <sup>1</sup>	Authority: 7 CFR 246.25  Confidentiality: 7 CFR 246.26

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

† 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.

<sup>1</sup> See **NC DHHS RECORDS SCHEDULE FOR GRANTS**, page xi; it is published semiannually by the DHHS Office of the Controller.

## 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.

---

### ***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 66) 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.

---

### ***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. See a sample destructions log that follows (and is available online at the State Archives of North Carolina website, <https://archives.ncdcr.gov/government/forms-government>).



## Destructions Log

<b>Agency</b>					
<b>Division</b>		<b>Section</b>		<b>Branch</b>	
<b>Location(s) of Records</b>					

[illegible]

## 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.

---

### ***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 (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines#digital-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 Natural and Cultural Resources.

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

**Non-permanent records** may be retained in any format. 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.

---

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

- A.** There are numerous documents available on the State Archives of North Carolina website (<https://archives.ncdcr.gov/government/digital-records/digital-records-policies-and-guidelines>). Topics covered include shared storage, cloud computing, e-discovery, 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 e-mail, text messages, and social media 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, or social media post. For instance, an e-mail requesting leave that is sent to a supervisor should be kept for 1 year (see Local Government Agencies General Records Schedule, Standard 6: Leave Records).



## 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.

Alternately, 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.

---

### ***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.

---

***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

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### ***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) 814-6849 for the Head of the Collections Management Branch. If you're in the western part of the state, call our Asheville Office at (828) 296-7230 extension 224. On nights and weekends, call your local emergency management office.

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

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

---

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

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

---

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

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

---

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

- A.** Essential records are records that are necessary for continuity of operations in the event of a disaster. There are two common categories of records that are considered essential:
- **Emergency operating records** – including emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records.
  - **Legal and financial rights records** – these protect the legal and financial rights of the 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

---

### ***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
- Digital communications

---

### ***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 offered only 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.

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### ***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, electronic records, and scanning.



## Request for Change in Local Government Records Schedule

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.

### AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

### CHANGE REQUESTED

Specify title and 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:

Inclusive Dates of Records:

Proposed Retention Period:

Description of Records:

Justification for Change:

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date



## Request for Disposal of Unscheduled Records

### AGENCY INFORMATION

Requestor name

Location and Agency [e.g., County/Municipality + Department of Social Services]

Phone and email

Mailing Address

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 administrative, fiscal, historical, or legal purposes.

RECORDS TITLE AND DESCRIPTION	INCLUSIVE DATES	QUANTITY	RELEVANT STATUTORY REGULATIONS	PROPOSED RETENTION PERIOD

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

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 that 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 that 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>		

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

Requested by:

Signature

Title

Date

Approved by:

Signature

Requestor's Supervisor

Date

Concurred by:

Signature

Assistant Records Administrator  
State Archives of North Carolina

Date



## File Plan

<b>Agency</b>					
<b>Division</b>		<b>Section</b>		<b>Branch</b>	

[illegible]



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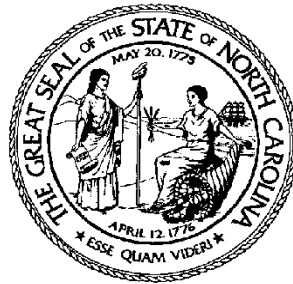
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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY MANAGEMENT



Issued By:



NORTH CAROLINA  
DEPARTMENT OF  
**CULTURAL  
RESOURCES**  
[WWW.NCCULTURE.COM](http://WWW.NCCULTURE.COM)

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

April 15, 2013

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## County Management 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 provision 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.***

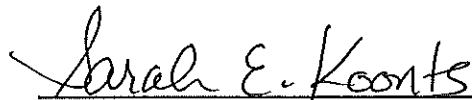
This local government agency and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative value ends.*" The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "*destroy when administrative value ends.*" If a county does not establish internal policies and retention periods, the county is not complying with the provisions of this retention schedule and is not authorized by the Department of Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative value ends.*"

The local government agency and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require 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 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.

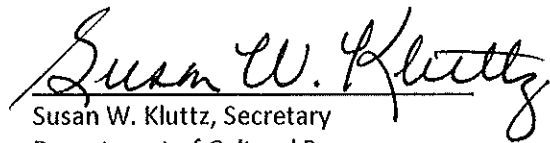
### APPROVAL RECOMMENDED

\_\_\_\_\_  
Chief Administrative Officer/  
County Manager

  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Chairman, Bd. County Commissioners

  
Susan W. Kluttz, Secretary  
Department of Cultural Resources

County: \_\_\_\_\_

April 15, 2013



## EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR 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 county 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 which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." 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 administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments, not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate records series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all county employees and officials take our online tutorials 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, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions in a county. 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

---

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

- A.** This document is a tool for the employees of county governments across the state to use when managing the records in their offices. It lists records commonly found in county offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your county and the State Archives of North Carolina.

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

---

**Q. *How do I get it approved?***

- A.** This schedule must be approved by the County Board of Commissioners for use in your county. 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.

---

**Q. *Do I have 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 the definition of “administrative value”?***

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)

---

**Q. *What do I do with routing slips, fax cover sheets, reference copies, memory aids, reservations and confirmations, etc.?***

- A.** 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 guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

---

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

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect the organizational structure of your county, 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 county.

---

**Q. *I can’t 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 box” function on the PDF version of the schedule. If you still cannot locate your records on the schedule, then contact the Records Management Analyst assigned

to your county. 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. *Can anyone 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. *Do I have to make copies of drafts available to the public that haven't been approved?***

- A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied 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.

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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 the Records Management Analyst assigned to your county for further assistance.

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**Q. *I don't have any records.***

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren't 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, outdoor shed)?***

- A.** Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, 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. Do we have to let anyone who asks see them?***

- 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 county offices. Contact the Records Management Analyst assigned to your county 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 have found some really old records. What should I do with them?***

- A.** Call the Records Management Analyst assigned to your county. 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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

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

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

## AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

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

We have used an asterisk (\*) in the disposition instructions to mark records series that are commonly audited, litigated or maybe 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](#) Item 7, page 2 and [AUDITS: FINANCIAL](#) Item 6, page 22.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county 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.

Per 26 CFR 1.148-5(d)(6)(iii)(E), retain all documents related to a financing, including those related to construction or purchase of the financed asset, for the life of the debt plus 3 years.

## 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 that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question above, “*What should I do with permanent records?*”)
- 

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

- A.** After your county has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated;
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

**Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used. We do not recommend the disposal in a landfill of records containing confidential information.**

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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](#) (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

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### ***Q. Do I have to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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: EMAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

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### **Q. *When can I delete my email?***

- A.** Email is a public record as defined by G.S. §121-5 and G.S. §132. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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 email 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 email simply because storage limits have been reached.** Some examples of email 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 will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

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### **Q. *May I print my email to file it?***

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

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### **Q. *I use my personal email account for work. No one can see my personal email.***

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

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

- A.** You may scan any record, including permanent records. You will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your office should follow our guidelines, available on the State Archives of North Carolina website. Contact the Records Management Analyst assigned to your county 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 have to take precautions with 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 will have to 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. I'll just keep my computer records.***

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

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

- A.** The following documents are available on the State Archives of North Carolina website:
- Best Practices for Cloud Computing: Records Management Considerations
  - Best Practices for Electronic Communication Usage in North Carolina: Text and Instant Message
  - Best Practices for Electronic Communication Usage in North Carolina: Guidelines for Implementing a Strategy for Text and Instant Messages
  - Best Practices for File Naming
  - Best Practices for Social Media Usage in North Carolina
  - Guidelines for Digital Imaging Systems
  - Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
  - Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

## **GEOSPATIAL RECORDS**

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**Q. *Why should 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.

Consult [STANDARD-7: GEOGRAPHIC INFORMATION SYSTEMS \(GIS\) RECORDS](#) for additional records series.

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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 and 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. 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.

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

- A.** The Department of Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. We will also film records of adoptions for your Social Services agency. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your county for the most current information.

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### **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 the analyst assigned to your county.

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 the analyst assigned to your county 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.

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

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

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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 minutes microfilming for more information.

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### **Q. *I have some old minutes that aren't 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 the Records Management Analyst assigned to your county, 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**

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**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 is trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle your 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 make a visit to you at the earliest opportunity 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.

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

- A.** We provide training to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your county.

## **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 your 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** – our basic introduction to the Public Records law and records management;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens.

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

- A.** Yes, we will. Let the Records Management Analyst assigned to your county know what type of training you need.

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**Q. *Do we have to come to Raleigh for workshops?***

- 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.

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

- A.** Not at this time.

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**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 for Local Agencies:** Our basic introduction to the Public Records law and records management.
  - **Managing Your Inbox: Email as a Public Record:** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
  - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls:** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.



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-2. AIRPORT AUTHORITY RECORDS**

Official records and materials created and accumulated incidental to the operation of a county airport.

ITEM #	STANDARD-2: AIRPORT AUTHORITY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AIR SPACE CONSTRUCTION FILES</b> Applications to construct structures which may obstruct flight space. May include correspondence, including email, and related records.	Destroy in office after 5 years.	
2.	<b>AIRFIELD INSPECTION FILES</b> Records concerning airfield inspections on runway conditions, fire and rescue facilities, ground vehicle control, and other airport condition information.	Destroy in office after 1 year.	14 CFR 139.301
3.	<b>AIRPORT CERTIFICATION MANUAL</b> Manual containing a description of operating procedures, facilities and equipment, responsibility assignments, and any other information needed by personnel concerned with operating the airport.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	14 CFR 139.201
4.	<b>AIRPORT COMMISSION MINUTES</b>  See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming minutes.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	
5.	<b>AIRPORT MASTER RECORD FILES</b> Federal Aviation Administration (FAA) form 5010 documenting basic information concerning airports	Destroy in office when superseded.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-2: AIRPORT AUTHORITY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>COMMUNICATIONS RECORDINGS</b> Audio recordings of radio and telephone communications and complaint calls.	Destroy in office after 30 days if not made part of a case file. *	
7.	<b>LAND DEVELOPMENT AND PLANNING STUDIES AND REPORTS</b> Records documenting local government and airport authority land use and development planning.	Retain in office permanently.	
8.	<b>RADIO LOGS</b> Records of radio calls received and placed.	Destroy in office after 1 year.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

**STANDARD-3. ANIMAL CONTROL AND SHELTER RECORDS**

Records and materials created and accumulated during the conduct of county animal control and shelter programs.

ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACTIVITY REPORTS (ANIMAL CONTROL)</b> Daily, weekly, and monthly reports to the County Health Department, Department of Health Services, etc., providing statistics regarding complaints answered, dogs and cats impounded, impounded animals disposed of, vaccinations, and animal bites reported.  See also <a href="#">REPORTS AND STUDIES (INTERNAL ADMINISTRATION)</a> item 53, page 12.	Destroy in office after 1 year.	
2.	<b>ANIMAL ADOPTION RECORDS</b> Includes pre-adoption records and agreements.	Destroy in office after 2 years.	
3.	<b>ANIMAL ABUSE AND CRUELTY CASES</b> Includes complaints, citations and/or compliance orders, and similar records.	Destroy in office after 5 years.*	G.S. §14-360
4.	<b>ANIMAL BITE RECORDS</b> Includes copies of bite reports filed with the local Public Health Department.  See also <a href="#">DANGEROUS ANIMAL RECORDS</a> item 10, page 19.	Destroy in office after 3 years.*	G.S. §130A-196, 197, 198.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.



ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>ANIMAL COMPLAINT RECORDS</b> Includes complaints of animal abuse and nuisances.  See also <a href="#">DANGEROUS ANIMAL RECORDS</a> item 10, page 19.	Destroy in office after 3 years.*	
6.	<b>ANIMAL CONTROL CITATIONS/COMPLIANCE ORDERS</b> Includes citations and/or compliance orders issued to animal owners of violations of county ordinances.  See also <a href="#">DANGEROUS ANIMAL RECORDS</a> item 10, page 19.	Destroy in office after 3 years.*	
7.	<b>ANIMAL LICENSE RECORDS</b> Records concerning the payment of license fees.	Destroy in office after 3 years.*	
8.	<b>CERTIFICATES OF ANIMAL RELEASE</b> Certificates verifying health of animal examined and released by county animal control.	Destroy in office after 1 year.	
9.	<b>CONTROLLED SUBSTANCE EUTHANASIA LOG</b> Includes amount of controlled substance used and animals destroyed.	Destroy in office after 2 years.	21 CFR 1304.03
10.	<b>DANGEROUS ANIMAL RECORDS</b> Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals.	Destroy in office records relating to dangerous animals until known dead or after 10 years.*	G.S. §67-4.1

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>HISTORIES OF PET OWNERS</b> Records concerning information for each animal owner that violates the county ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office after 3 years.*	
12.	<b>OWNER CONTACT NOTICE RECORDS</b>	Destroy in office 1 year from date of contact.	
13.	<b>RABIES CONTROL REPORTS</b> Monthly reports sent to the Division of Health Services.	Destroy in office after 1 year.	
14.	<b>SHELTER DISPOSITION SHEETS</b> Sheets filed on each animal processed by the animal shelter, containing information on whether the animal is reclaimed by the owner, adopted, or euthanized.	Destroy in office after 1 year.	
15.	<b>VACCINATION RECORDS</b> Includes rabies vaccination certificates sent to county animal control by area veterinarians.	Destroy in office after 3 years.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

**STANDARD-5. CODE ENFORCEMENT AND INSPECTION RECORDS**

Official records and materials created and accumulated during the conduct of county inspection programs.

In accordance with G.S. §153A-373, "The inspection department shall keep complete, and accurate records in convenient form of each application received, each permit issued, each inspection and reinspection made, and each defect found, each certificate of compliance granted, and all other work and activities of the department. These records shall be kept in the manner and for the periods prescribed by the North Carolina Department of Cultural Resources. The department shall submit periodic reports to the Board of Commissioners and to the Commissioner of Insurance as the Board or the Commissioner may require." (1969, s. 1: c.822, s.1; 1983, c.377, s.6.)

ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AIR POLLUTION SOURCE INFORMATION</b> For facilities which are no longer operational.	Destroy in office after 2 years.*	
2.	<b>BEER AND WINE LICENSES</b> Issuance and payment records concerning local licenses corresponding with Alcohol Beverage Control (ABC) permits.	Destroy in office 3 years after expiration.*	G.S. § 105-113.70
3.	<b>BLUEPRINTS AND SPECIFICATIONS</b> Blueprints and specifications of county owned buildings and facilities, or drawings submitted when applying for a building permit for new construction. May include as-built plans and related records concerning approved changes or used in determining code compliance and enforcement of building code.	a) Destroy in office residential blueprints and specifications when administrative value ends.† Agency Policy: Destroy in office after _____  b) Destroy in office commercial blueprints and specifications 1 year after permit is issued.  c) Retain agency blueprints and specifications for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of government building detailed plans and drawings.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>BUILDING AND ROAD PERMITTING AND INSPECTION RECORDS</b> Includes applications for permits from property owners to erect new structures or manufactured homes, or to make structural modifications, demolition, fire permits, or the installation of plumbing, electrical, or mechanical systems. Records include permits, inspection reports, inspector's worksheets, inspection requests, denial reports, sketches, plans, and correspondence (including email). May include contractor change forms.	a) Destroy in office permits, applications, and inspection reports (or worksheets) 6 years after Certificate of Occupancy is issued or project is complete (inactive).  b) Destroy in office Certificate of Occupancy 6 years after permit is expired.  c) Destroy in office remaining records, including applications for which a permit was never issued, when administrative value ends.† Agency Policy: Destroy in office after _____	
5.	<b>BUSINESS CERTIFICATION RECORDS</b> Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.	a) Destroy in office 3 years after most recent recertification.  b) Destroy in office applications for which a certification was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
6.	<b>CONTROLLED SUBSTANCE LABS DECONTAMINATION RECORDS</b> Records concerning decontamination compliance.	Destroy in office 3 years after documented decontamination is complete.	
7.	<b>DAM CONSTRUCTION, OPERATION, AND MAINTENANCE FILES</b>	Retain for life of structure.	
8.	<b>DROUGHT CONTINGENCY PLANS</b> Water conservation plans in the event of a drought.	Destroy in office when superseded or obsolete.	
9.	<b>EROSION AND SEDIMENT CONTROL AFFIDAVITS</b> Forestry and agricultural affidavits clarifying land use exempt from land-disturbing activity standards.	Destroy in office after 6 years.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>EROSION AND SEDIMENT CONTROL ENFORCEMENT CASES</b> Includes settled legal matters and penalties.	Destroy in office 6 years after settlement.*	
11.	<b>EROSION AND SEDIMENT CONTROL PLANS</b> Includes approved and disapproved plans. May include revisions and addenda.	a) Destroy in office approved plans 6 years after approval or last revision and/or addendum.  b) Destroy in office non-approved plans after 3 years.	
12.	<b>EXEMPTION (VARIANCE) RECORDS</b> Exemption and variance records concerned with the installation of water, sewer, gas, or electric lines.	a) Destroy in office 5 years after expiration.*  b) Destroy in office records for which an exemption or variance was not issued after 3 years.	40 CFR 141.33  15A NCAC 18C .1526
13.	<b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records concerning the maintenance, repair, and inspection of county owned facilities.  See also <a href="#">GRANTS</a> item 28, page 6.	a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities after 1 year.  b) Destroy in office records concerning all other facility maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.	
14.	<b>GOING-OUT-OF-BUSINESS LICENSES</b> Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
15.	<b>GROUNDWATER MONITORING RECORDS</b> Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	15A NCAC 2C .0100

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>HAZARDOUS WASTE DISPOSAL RECORDS</b> Data concerning the disposal of hazardous materials, including asbestos. Includes copies of manifests, lists of companies doing the removal, location, how much to be disposed, when to be removed, route and method of disposal, and other related documentation.	Destroy in office after 3 years.*	40 CFR 262.40  15A NCAC 13A .0100
17.	<b>ILLEGAL DUMPING FILE</b> Records concerning illegal dumping complaints received.	Destroy in office after 5 years.*	
18.	<b>INSPECTIONS: ELECTRIC POWER AND NATURAL GAS SYSTEM</b> Includes non-compliance inspection and test records conducted by a facility.	Destroy in office after 5 years.*	
19.	<b>INSPECTIONS: ENVIRONMENTAL HEALTH SUMMARIES</b> Summaries of inspections of establishments whose business impacts environmental health.	a) Destroy in office after 3 years from date records were created while establishment is in operation.  b) Destroy in office 1 year after establishment ceases to operate.	
20.	<b>INSPECTIONS: LANDFILL</b> Records and reports completed to prevent malfunctions and deterioration, operation errors, and discharges that may cause or lead to the release of wastes in the environment.	Destroy in office after 5 years.*	
21.	<b>INSPECTIONS: PERIODIC REPORTS OF INDUSTRIAL FACILITIES</b>	Destroy in office after 5 years.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>INSPECTIONS: SANITARY LANDFILL</b> Includes state inspection form.	Destroy in office after 1 year.	
23.	<b>INSPECTIONS: SEWAGE DISPOSAL SYSTEM</b> Reports showing home structure and water line diagram. Reports are used to indicate sewage hookups and to comply with local government codes.	Destroy in office 2 years after inspection.	
24.	<b>INSPECTIONS: SUBSTANDARD HOUSING</b>	Destroy in office after 6 years.	
25.	<b>INSPECTIONS: WASTE LOADS</b> Inspections conducted to prevent the disposal of illegal and/or restricted materials in a landfill.	Destroy in office after 3 years.	
26.	<b>INSPECTIONS: WATER AND WASTEWATER SYSTEM</b> Includes non-compliance inspections and test records conducted by a facility.	Destroy in office after 5 years.*	
27.	<b>LABORATORY OPERATIONS RECORDS</b> Includes documentation of all analytical quality control practices, reporting units, forms, test methods, and related procedures pertaining to certification.	a) Destroy in office samples, raw data, analysis reports, and related documentation after 5 years.*  b) Destroy in office records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	15A NCAC 02H .0805(7)(G) and .1100.
28.	<b>LEAD AND COPPER COMPLIANCE RECORDS</b> Includes all monitoring records required by federal, state, and local regulations.	Destroy in office after 12 years.*	40 CFR 141.91
29.	<b>LIFT/PUMP STATION INFORMATION FILE</b> Technical information concerning lift station and maintenance, water, and sewer petition work.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<b>LANDFILL OPERATIONAL PLAN</b> Describes the intended schedule of construction, description of on-site waste handling procedures during active life of the facility, contingency plans, description of maintenance of installed equipment, and any other information pertaining to the operation, maintenance, monitoring, or inspections as may be required by federal and state law.	Retain in office permanently.	
31.	<b>LANDFILL TONNAGE AND COST FILE</b>	Destroy in office after the 5 year reporting period is complete.	
32.	<b>NORTH CAROLINA SEDIMENTATION AND POLLUTION CONTROL COMMISSION</b> Contains documentation of sedimentation control measures to be used on individual projects.	Destroy in office after 3 years.	
33.	<b>PERMIT LOG</b> Record showing permit number, date, name of owner, cost of construction (if applicable), permit date, and receipts.	Destroy in office after 6 years.	
34.	<b>PERMIT RECEIPT BOOKS</b>	Destroy in office after 3 years.*	
35.	<b>PERMITS: BURNING</b> Records concerning permits issued during site construction.	a) Destroy in office after 3 years.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	<b>PERMITS: COMMUNITY WATER SYSTEM</b> Permit issued by the NC Department of Environment and Natural Resources.	Destroy in office when superseded.	G.S. §130A-328(a)
37.	<b>PERMITS: ENCROACHMENTS OF RIGHT-OF-WAY</b>	a) Destroy in office 3 years after case is resolved.*  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
38.	<b>PERMITS: FACILITIES USE</b>	a) Destroy in office after 3 years.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
39.	<b>PERMITS: LANDFILL</b>	Destroy in office after the 5 year reporting period is complete.	
40.	<b>PERMITS: MISCELLANEOUS (CONSTRUCTION)</b> Applications and permits regarding sign installation, fencing, swimming pools, driveways, or similar activity required by local ordinance.  See also <a href="#">PERMITS: MISCELLANEOUS (NON-CONSTRUCTION)</a> item 41, page 38.	a) Destroy in office 3 years after completion of project.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<b>PERMITS: MISCELLANEOUS (NON-CONSTRUCTION)</b> Includes, but is not limited to, applications and permits regarding burning, special events, and landscape establishment.  See also <a href="#">PERMITS: MISCELLANEOUS (CONSTRUCTION)</a> item 40, page 37.	a) Destroy in office 1 year after expiration of permit.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
42.	<b>PERMITS: PUBLIC UTILITIES PROJECTS</b> Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.	a) Destroy in office permits 6 years after expiration, cancellation, revocation, or denial.*  b) Retain approval letters and supporting documentation permanently.	15A NCAC 18C .0300 and 2H .0115  40 CFR 122.28 (1993)
43.	<b>RECREATIONAL VEHICLE REGISTRATION RECORDS</b> Records concerning issuance of registrations/decals for recreational vehicles including, but not limited to, golf carts, canoes, and mopeds. May include proof of insurance and renewals.	Destroy in office 1 year after expiration.*	
44.	<b>REPORTS: DAILY WATER AND WASTEWATER FACILITY OPERATORS LOGS</b> Includes water distribution and treatment.	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.*	15A NCAC 18C .1301

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<b>REPORTS: DISCHARGE MONITORING</b> Includes discharge and non-discharge monitoring reports submitted to state and/or federal regulatory agencies. Also includes copies of monthly reports required by National Pollution Discharge Elimination System (NPDES) permits.	a) Destroy in office daily reports after 3 years.  b) Destroy in office National Pollutant Discharge Elimination System (NPDES) reports 5 years from date of submission.*  c) Destroy in office annual reports 5 years from date of submission.*	40 CFR 122.41(3)(j)(2)  15A NCAC 2B .0506
46.	<b>REPORTS: ENVIRONMENTAL HEALTH</b> Laboratory reports showing results of environmental health tests.	Destroy in office after 3 years.	
47.	<b>REPORTS: LANDFILL MONITORING</b> Gas and groundwater monitoring records and reports.	a) Retain official reports permanently.  b) Destroy in office remaining records after 3 years.	
48.	<b>REPORTS: MONTHLY BUILDING PERMITS AND CONSTRUCTION</b> Customized reports used for statistical analysis of current development trends within the county. This information also is submitted to the U. S. Department of Commerce & Bureau of the Census and/or the NC Department of Environment and Natural Resources (DENR).	Destroy in office after 3 years.	
49.	<b>REPORTS: U.S. ENVIRONMENTAL PROTECTION AGENCY (EPA)</b>	Destroy in office after 2 years.*	
50.	<b>REPORTS: WASTEWATER MAINTENANCE OPERATION</b>	Destroy in office after 3 years.	
51.	<b>STANDARD BUILDING CODES</b>	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	<b>STREET INFORMATION</b> May include master address logs.	Destroy in office when superseded or obsolete.	
53.	<b>TRADES CERTIFICATIONS</b> Includes contractors licensing records.	Destroy in office when superseded or obsolete.	
54.	<b>TROUT BUFFER VARIANCES</b> Records may include denials and waivers.	a) Destroy in office 6 years after approval of permit.  b) Destroy in office plans for which a permit was not issued after 3 years.	
55.	<b>UNSAFE BUILDINGS FILE</b> Notification to owner of unsafe conditions relative to a particular structure.	Destroy in office after 6 years provided all issues have been resolved.*	
56.	<b>VIOLATIONS</b> Includes complaints, certified return receipts, summons, notices, appeals, and other information created or compiled during the course of investigation and resolution of each alleged violation. Applies to violations of building and fire code, minimum housing, and erosion and sediment control.	Destroy in office 3 years after verification of correction. *	
57.	<b>VIOLATIONS: SOLID WASTE MANAGEMENT</b> Includes complaints, notices of violations, citations, investigation records, court documents, and other related records produced by solid waste environmental enforcement programs.	Destroy in office 7 years after resolution of case.*	
58.	<b>VIOLATIONS: WATER CONSERVATION</b> Notices of water conservation violation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<b>VALVE OPERATION FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
60.	<b>WASTE OIL, BATTERIES, AND ELECTRONICS COLLECTION FILE</b> May include records of waste oil filter collections.	Destroy in office after 5 years.	
61.	<b>WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS</b>	Destroy in office after 5 years.*	15A NCAC 2B .0500
62.	<b>WASTEWATER QUALITY ANALYSIS RECORDS</b>	a) Destroy in office monitoring and calculation sheets after 1 year.* b) Destroy in office analysis reports after 3 years.*	15A NCAC 2B .0500
63.	<b>WATER ANALYSIS</b> Includes bacteriological, chemical, radiological, and physical analyses and climatological observations. Also includes records of actions taken to correct violations.	a) Destroy in office records of bacteriological and turbidity analysis after 5 years. b) Destroy in office records of chemical and radiological analysis 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 other records after 5 years.	15A NCAC 18C .1526 40 CFR 141.33 (a)(b)

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
64.	<b>WATER, SEWER, AND WASTEWATER SYSTEM PROJECT RECORDS</b>  See also <a href="#">PERMITS: PUBLIC UTILITIES PROJECTS</a> , item 42, page 38.	Destroy in office 6 years after project is completed.	15A NCAC 18C .0305
65.	<b>WATER SYSTEM OPERATIONS RECORDS</b> Includes backflow prevention reports, flow reports, capacity studies, pump station reports, and similar records that summarize the operations of water supply, treatment, distribution, and collection.	Destroy in office after 10 years.*	40 CFR 141.33 15A NCAC 18C .1526
66.	<b>WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS FILE</b>	Destroy in office after 5 years.*	

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**STANDARD-6. EMERGENCY SERVICES RECORDS**

Official records explaining the authority, operating philosophy, purposed methods, and primary functions of emergency services programs.

ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>911 CALL RECORDINGS</b>	Destroy in office after 30 days, if not made part of a case file.*	G.S. §132-1.4(i)  Comply with applicable provisions of G.S. §132-1.5 regarding the confidentiality of automatic identification information contained in 911 database.
2.	<b>911 COMMUNICATION RECORDS</b> Transcripts of 911 calls received and computer-aided dispatch (CAD) reports. Reports may list time and date of call, contents of call, location of call, name of unit dispatched, and other related information.	Destroy in office after 3 years, if not made part of a case file.*	Comply with applicable provisions of G.S. §132-1.4(c)(4) regarding the confidentiality of the identity of complaining witnesses.
3.	<b>911 FILE</b> Information regarding the implementation, training, and operations of the 911 system.	Destroy in office after 5 years.	
4.	<b>ACTIVITY REPORTS</b> Reports on an individual, shift, project, and other basis submitted on a daily, weekly, or other basis.	Destroy in office after 3 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR)</b> Records showing equipment used, patient location, nature of call, vital signs and other physical signs, care rendered, medicine ordered, etc.	a) Transfer copy of report to the admitting hospital for inclusion into patient's medical record. b) Destroy original after 11 years from last patient service.*	
6.	<b>AMBULANCE DISPATCH RECORDS</b> Includes run number, date, time, address, phone number, reason for dispatch, age of patient, condition of patient, responders, and other related information.	Destroy in office after 3 years.*	
7.	<b>AMBULANCE SERVICE RUN LOG</b> Includes response number, location of call, responding unit, arrival and departure times, and other related information.	Destroy in office after 3 years.*	
8.	<b>ANNUAL SUBMISSION ON PERSONNEL AND ADMINISTRATION FUNDS FILE</b>	Destroy in office after 3 years.	
9.	<b>COMPANY RUN REPORT (FIRE JOURNAL)</b> Listings of fire calls, alarms, personnel involved, equipment used, and actions taken.	Destroy in office after 5 years.	
10.	<b>CONSOLIDATED MONTHLY REPORTS</b>	Destroy in office after 5 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes, but is not limited to, official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	Retain plans until superseded; destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
12.	<b>DISPATCH RECORDINGS</b> Recordings made of activities during an emergency services dispatch.	Destroy in office after 30 days, if not made part of a case file.*	
13.	<b>EMERGENCY NOTIFICATIONS</b>	Destroy in office when superseded or obsolete.	
14.	<b>EVACUATION PLANS</b>	Destroy in office when superseded or obsolete.	
15.	<b>FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE</b> Certificates, licenses, and insurance certificates of companies that perform installations of fire alarm and automatic extinguishing systems.	Destroy in office when superseded or obsolete.	
16.	<b>FIRE ALARM JOURNAL</b> Journal or other listing of alarms answered by the fire department.	Destroy in office after 3 years.	
17.	<b>FIRE DISPATCH FILE</b> Records relating to fire dispatch zones. May include maps of fire dispatch zones, census tract information, annexation research, street closings, and other related material.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<b>FIRE INVESTIGATION CASE FILES</b> Includes detailed information regarding circumstances of the incident including location, information on damage and injuries, and possible cause of incident. May also include photographs and evidence log.  See also <a href="#">FIRE INVESTIGATION RECORDS</a> item 19, page 46.	a) Destroy in office after 5 years when cause of fire is determined to be accidental and no loss of life occurs*  b) Destroy in office after 10 years when arson is involved.*  c) Retain in office permanently when loss of life occurs or if a publicly-owned building is involved.*	
19.	<b>FIRE INVESTIGATION RECORDS</b> Reports and correspondence, including email, of fires investigated by department personnel.  See also <a href="#">FIRE INVESTIGATION CASE FILES</a> item 18, page 46.	Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after _____	
20.	<b>FIRE LIMITS ORDINANCES</b> Ordinances passed by council establishing and defining fire limits which shall include principal business portions of the county.	Retain in office permanently.	
21.	<b>FIRE SAFETY INSPECTIONS</b> Inspections and permits issued of buildings and systems for proper fire protection measures and procedures.	a) Destroy in office inspections with no defects after 3 years.  b) Destroy in office inspections with noted defects 3 years after defects are corrected.*  c) Destroy in office permits after 3 years.	
22.	<b>FIXED NUCLEAR FACILITIES PLANS FILE</b> Includes emergency plans for county fixed nuclear facilities.	Destroy in office after 3 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<b>HOSE RECORDS</b> Records concerning the age, repair, and routine testing of fire hoses.	Destroy in office after 2 years.	
24.	<b>HYDRANT RECORDS</b> Records of fire hydrant locations, water main sizes, routine testing, and maintenance.	a) Destroy in office inspection and test records after 2 years. b) Retain in office maintenance records for life of the hydrant. c) Destroy in office records showing location and size of water mains when superseded or obsolete.	
25.	<b>LOCAL EMERGENCY PLANNING COMMITTEE MINUTES</b>	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	42 USC §11003
26.	<b>LOCAL EMERGENCY PLANS</b> Comprehensive emergency response plans developed by emergency planning districts.	Destroy in office when superseded or obsolete.	42 USC §11001
27.	<b>NATIONAL FLOOD INSURANCE PROGRAM RECORDS</b>	Retain in office permanently.	
28.	<b>NORTH CAROLINA FIRE CASUALTY REPORT</b> Report filed with the N.C. State Fire Commission.	Destroy in office after 5 years.	
29.	<b>NORTH CAROLINA FIRE INCIDENT REPORT</b> Report filed with the N.C. State Fire Commission, county fire marshal, town or city council, or county commissioners.	Destroy in office after 5 years.	G.S. §58-79-45
30.	<b>NORTH CAROLINA FIRE ASSOCIATION RECORDS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	<b>NORTH CAROLINA FIREMAN'S PENSION FUND PRINTOUT</b> Documentation of annual leave, history report, position summary, etc., for the N.C. Fireman's Pension Fund.	Destroy in office when superseded or obsolete.	
32.	<b>NUCLEAR CIVIL PROTECTION PLAN</b>	Destroy in office when superseded or obsolete.	
33.	<b>PHARMACEUTICAL RECORDS</b>	Destroy in office after 3 years.*	
34.	<b>PLANS</b> Plans of buildings and fire safety systems of commercial and industrial properties.	Destroy in office when superseded or obsolete.	
35.	<b>PUMP TEST RECORDS</b> Results of tests conducted on pumping equipment.	Destroy in office after 2 years.	
36.	<b>RADIOLOGICAL DEFENSE (RADEF) DATA BANK RADIOACTIVE MATERIAL INVENTORY</b>	Destroy in office after loan of radioactive materials ends.	
37.	<b>RADIOLOGICAL DATA STATION FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
38.	<b>RESOLUTIONS ON ESTABLISHMENT OF LOCAL AGENCY</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
39.	<b>SAFETY COMMITTEE MEETINGS</b> Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	<b>SHELTER FACILITIES LISTING</b>	Destroy in office when superseded or obsolete.	
41.	<b>STATE OF EMERGENCY ORDINANCES</b>	Retain in office permanently.	
42.	<b>SUPERFUND AUTHORIZATION RECOVERY ACT INFORMATION FILE</b> Information concerning the location of hazardous waste in the community.	Destroy in office when superseded or obsolete.	
43.	<b>VOLUNTEER FIRE/RESCUE DEPARTMENT LOGS</b>	Destroy in office after 3 years.*	
44.	<b>VOLUNTEER FIREFIGHTERS MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*  b) Destroy in office records pertaining to job-related illness and injury after 5 years.  c) Destroy in office results of routine medical examinations and similar records after 1 year.  <i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i>	29 CFR 1910.1020 (d)(ii)
45.	<b>VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS</b> Official copy of personnel file maintained on each volunteer firefighter. May include basic information and records and forms relating to the duties, service, suspension, and termination of the volunteer.  See also <a href="#">VOLUNTEER FIREFIGHTERS MEDICAL RECORDS</a> item 44, page 49.	Destroy in office 30 years from date of separation.*	

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**STANDARD-10. PARKS AND RECREATION RECORDS**

Official records and materials created and accumulated during the conduct of county parks and recreation programs. Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.

ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCIDENT/INCIDENT REPORTS (PARKS &amp; RECREATION)</b>  See also <a href="#">WORKERS' COMPENSATION PROGRAM CLAIMS FILE</a> item 60, page 86.	Follow disposition instructions for <a href="#">ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</a> item 1, page 112.	.
2.	<b>ADMISSION RECORDS</b> Records of admissions to county parks or recreation facilities.	Destroy in office after 3 years.*	
3.	<b>ANNUAL ACTIVITY REPORT</b> Copies of financial and statistical reports sent to governing body.	Destroy in office after incorporation into official minutes of governing body.	
4.	<b>BIRTH CERTIFICATES (REFERENCE COPIES)</b> Copies of each participant's birth certificate to verify age and register individual for participation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
5.	<b>CITATIONS RECORDS</b> Citations issued by park personnel to persons who violate park rules and regulations.	Destroy in office after 2 years.	

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ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>INTERNATIONAL FEDERATION OF PARKS AND RECREATION ADMINISTRATION FILE</b> Records concerning general and technical material associated with the International Federation.	Destroy in office when superseded or obsolete.	
7.	<b>OFFICIALS FILE</b> Records concerning individuals who officiate games. Includes payroll, schedule, and related correspondence, including email.	a) Destroy in office after 3 years.  b) If official is a county employee, transfer applicable records to <a href="#">PAYROLL AND EARNINGS RECORDS</a> item 45, page 27.	
8.	<b>PARKS AND RECREATION BOARD MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Parks and Recreation Board.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	
9.	<b>PARKS PLANNING FILE</b> Includes master plans and working plans for each park property and county recreational facility, which show layout, topography, and proposed developments and improvements. May include drainage and resource maps, aerial maps, site analysis drawings, construction plans, and as-built drawings.  See also <a href="#">COMPREHENSIVE PLAN</a> item 16, page 3. See also <a href="#">PARK MAPS</a> , item 16, page 56.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____  b) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete.  c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	
10.	<b>POOL RECORDS</b> Monthly reports indicating operational data, chemicals used, chlorination levels, and other information relating to pool construction, maintenance, and health and safety.	Destroy in office after 1 year.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>RECREATION PROGRAMS</b> Records regarding athletic and recreation programs. May include staff notes, lesson plans, course descriptions, instruction manuals, schedules, team rosters, registration information, and concession operators list.	Destroy in office after 1 year.	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
12.	<b>RECREATIONAL EQUIPMENT RECORDS</b> Records of equipment owned by county parks and recreation facilities and lent to users.	Destroy in office 1 year after equipment is returned.	
13.	<b>RELEASE FORMS</b>	Destroy in office after 2 years.*	
14.	<b>RESERVATION RECORDS</b> Reservation records for county parks and recreational facilities.	Destroy in office after 1 year.	
15.	<b>RULES AND REGULATIONS</b> Rules and regulations relating to use of park facilities and equipment issued by the Parks and Recreation Board.	Destroy in office 5 years after rules are revoked or superseded.*	
16.	<b>SPECIAL EVENTS PROGRAM FILE</b> Records concerning special events promoted by the county. May include printing, calendars, program data, community contacts, and addresses.	Destroy in office after 1 year.	
17.	<b>TICKET STUBS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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**STANDARD-11. PERSONNEL RECORDS**

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of county employees. Comply with applicable provisions of G.S. §153A-98 regarding confidentiality of personnel records.

ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITION FILE	Destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	
2.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3(b)
3.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years.  b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b),(e) 29 CFR 1608.4
4.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(d),(e)
5.	<b>APTITUDE AND SKILLS TESTING RECORDS</b> Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations.  See also <a href="#">EMPLOYMENT SELECTION RECORDS</a> item 32, page 80.	Destroy in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>BENEFITS REIMBURSEMENT PLAN</b> Dental, vision, or other benefits-related claim forms and receipts submitted by employees requesting reimbursement from the county.	a) Destroy in office records concerning approved requests after 3 years.*  b) Destroy in office records concerning rejected requests 6 months after decision.	
7.	<b>CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS</b> Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.	a) Destroy in office annual enrollment records after 1 year.  b) Destroy in office remaining records and receipts 3 years after completion of all audits.*	
8.	<b>COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)</b> Includes notifications, election and claim forms, rejection letters, and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	<b>DEFERRED COMPENSATION FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
10.	<b>DISABILITY SALARY CONTINUATION CLAIMS</b> Forms used by disabled employees to apply for salary continuation benefits.	a) Transfer original forms to Local Government Employees' Retirement System (LERS) for action when received.  b) Destroy in office reference copies after 1 year.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DISCIPLINARY FILE</b> Correspondence, including email, and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83. b) Destroy in office all remaining records 2 years after resolution of all actions.	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>DRUG AND ALCOHOL PROGRAMS FILE</b> Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related documents.	<p>a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug &amp; Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years.</p> <p>b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.</p> <p>c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years.</p> <p>d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year.</p> <p><i>Retention Note: Records should be maintained in a location with controlled access.</i></p>	49 CFR 382.401 49 CFR 40.333 49 CFR 655.71

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>DUAL EMPLOYMENT FILE</b> Records concerning employees' requests and authorizations to accept secondary employment.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.  b) Destroy in office unapproved requests and related records after 6 months.	
14.	<b>EDUCATIONAL LEAVE AND REIMBURSEMENT FILE</b>  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	a) Destroy in office records concerning approved requests when released from all audits.  b) Destroy in office records concerning unapproved requests 6 months after unapproval.*	Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.
15.	<b>EMPLOYEE BENEFITS REGISTER</b>	Destroy in office after 2 years.	
16.	<b>EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS</b> Records concerning certification or qualification as required for employment, continued employment, or promotion.  See also <a href="#">EMPLOYMENT APPLICATIONS AND RESUMES</a> item 30, page 79.	a) Destroy in office certificates 5 years after date of separation.  b) Destroy in office all remaining records 2 years after resolution of all actions.	
17.	<b>EMPLOYEE DIRECTORIES, ROSTERS, OR INDEXES</b> Includes records listing employees, their job titles, work locations, phone numbers, email addresses, and similar information.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<b>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS</b> Includes records requesting tuition assistance, repayments, and other related records.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office 3 years after completion, denial, repayment, or removal from program.*	
19.	<b>EMPLOYEE ELIGIBILITY RECORDS</b> Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.	a) Destroy in office certificates, I-9 forms, and statements, 3 years after individual was hired or 1 year from date of separation.  b) Destroy in office registers after 2 years.	8 USC 1324(b)
20.	<b>EMPLOYEE EXIT INTERVIEW RECORDS</b>  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office after 1 year.	
21.	<b>EMPLOYEE HEALTH CERTIFICATES</b> Includes health or physical examination reports, or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office all other records 2 years after resolution of all actions.	29 CFR 1602.31

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>EMPLOYEE MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and bloodborne pathogen exposure; medical examinations required by state or federal law; and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*  b) Destroy in office records pertaining to job-related illness and injury after 5 years.  c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year.  <i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a workers compensation claim, follow disposition for <a href="#">WORKERS' COMPENSATION PROGRAM CLAIMS FILE</a> item 60, page 86.</i>	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910 29 CFR 1910.1020 (d)(ii)
23.	<b>EMPLOYEE PENSION AND BENEFITS PLANS</b> Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3(2)
24.	<b>EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS</b> Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Transfer pension and deferred compensation enrollment forms to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office life, health, and disability insurance enrollment forms 4 years after termination of coverage.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<b>EMPLOYEE PERFORMANCE REVIEW FILE</b> Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	a) Destroy in office supervisor approved and signed work plans after 3 years.  b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	
26.	<b>EMPLOYEE POLYGRAPH RECORDS</b> 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 agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	29 CFR 801.30
27.	<b>EMPLOYEE SUGGESTIONS</b> Includes employee surveys and survey responses.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
28.	<b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.	a) Transfer employee-specific records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83 if such training and testing is required for the position held or could affect career advancement.  b) Destroy in office non-employee-specific records 1 year from date record was created.  c) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	29 CFR 1627.3(b)(1)(iv)

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<b>EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
30.	<b>EMPLOYMENT APPLICATIONS AND RESUMES</b> Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letters of reference, and similar records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83. b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created or received, or the personnel action involved. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates, 2 years after receipt.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49
31.	<b>EMPLOYMENT LISTINGS, ADVERTISEMENTS, AND ANNOUNCEMENTS</b>	Destroy in office after 2 years.	29 CFR 1602

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<p><b>EMPLOYMENT SELECTION RECORDS</b> Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.</p> <p>See also <a href="#">APTITUDE AND SKILLS TESTING RECORDS</a> item 5, page 71.</p>	<p>a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.</p> <p>b) Destroy in office all remaining records 2 years after resolution of all actions.</p>	<p>29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3</p>
33.	<p><b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS</b> Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.</p> <p>See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.</p>	Destroy in office 2 years after resolution of case.*	29 CFR 1602.31
34.	<p><b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS</b> Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.</p>	Destroy in office after 3 years.	29 CFR 1602.31

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<b>EQUAL PAY RECORDS</b> Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
36.	<b>FRINGE BENEFITS FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
37.	<b>GRIEVANCE FILE</b> Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence, including email.  See also <a href="#">DISCIPLINARY FILE</a> item 11, page 73 and <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office after 2 years.*	
38.	<b>HEALTH INSURANCE FILE</b> Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
39.	<b>INCREMENTS FILE</b>	Destroy in office when released from all audits.	
40.	<b>INTERNSHIP PROGRAM FILE</b> Records concerning interns and students.	Destroy in office after 3 years.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<b>LEAVE FILE</b> Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc. Includes premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over the Family Medical Leave Act (FMLA), and other related records.	Destroy in office 3 years after return of employee or termination of employment.*	29 CFR 825.110(b)(2)(i)  29 CFR 825.500(b)
42.	<b>LONGEVITY PAY REQUESTS</b>	Destroy in office when released from all audits.	
43.	<b>MERIT AND SENIORITY SYSTEM RECORDS</b>	a) Destroy in office employee-specific records after 3 years.*  b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
44.	<b>PERSONNEL ACTION NOTICES</b> Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change, and leave.	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office all remaining records 2 years from date record was created or received, or the personnel action involved.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<p><b>PERSONNEL RECORDS (OFFICIAL COPY)</b> Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>See also <a href="#">EMPLOYEE MEDICAL RECORDS</a> item 22, page 77.</p>	<p>a) Destroy in office 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that county; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that county; date and general description of the reasons for each promotion with that county; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the county; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the county setting forth the specific acts or omissions that are the basis of the dismissal.</p> <p>b) Destroy in office information used to verify benefits 30 years after date of separation.</p> <p>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	G.S. § 153A-98 (County Employees)
46.	<p><b>PERSONNEL RECORDS (REFERENCE COPY)</b> Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____ transfer.</p>	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	<b>POLICIES AND PROCEDURES (PERSONNEL)</b>	a) Retain in office official copy of internal agency personnel policies permanently.  b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	
48.	<b>POSITION CLASSIFICATION/POSITION HISTORY FILE</b>  See also <a href="#">POSITION DESCRIPTION RECORDS</a> item 50, page 84.	a) Retain in office records with historical value permanently.  b) Destroy in office all other records when superseded or obsolete.	
49.	<b>POSITION CONTROL CARDS</b> Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
50.	<b>POSITION DESCRIPTION RECORDS</b> Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years from date record is superseded.	29 CFR 1620.32
51.	<b>POSITION REQUISITION AND ANALYSIS RECORDS</b> Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
52.	<b>SALARY SURVEY RECORDS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<b>SERVICE AWARDS AND COMMENDATIONS</b> Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office 2 years from date record was created or received, or the personnel action involved.	
54.	<b>TEMPORARY EMPLOYEE RECORDS</b> Records concerning temporary employees who are not provided with or eligible for benefits. Does not include personnel records created for specific federal programs.	a) If employee is a county employee, transfer applicable records to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) If the employee is a temporary service company employee, destroy in office 5 years from date of separation.	
55.	<b>UNEMPLOYMENT COMPENSATION CLAIMS</b> Claim form and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	
56.	<b>UNEMPLOYMENT COMPENSATION REPORTS</b> Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.	Destroy in office after 3 years.*	
57.	<b>UNEMPLOYMENT INSURANCE FILE</b>	a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received.  b) Destroy in office remaining records after 2 years.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
58.	<b>VOLUNTEER RECORDS</b> Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
59.	<b>WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE</b> Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently.  b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after _____	
60.	<b>WORKERS' COMPENSATION PROGRAM CLAIMS FILE</b> Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258 S.E.2d 698 (1993).)	a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy in office remaining records 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.*  b) If official action has been initiated, transfer to <a href="#">LITIGATION CASE RECORDS</a> item 14, page 66.	Comply with applicable provisions of G.S. §8-53 regarding the confidentiality of physician-patient records.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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**STANDARD-12. PLANNING AND ZONING RECORDS**

Official records and materials created and accumulated during the conduct of county planning and zoning programs.

ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>APPEARANCE COMMISSION MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Appearance Commission.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	
2.	<b>APPEARANCE COMMISSION PROJECT FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	<b>ASSESSMENT RECORDS FILE</b> Copies of assessment records and supporting documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
4.	<b>BOARD OF ADJUSTMENT CASE FILE</b> Cases submitted to the board requesting variances from current zoning ordinances.	Destroy in office 6 years after resolution of case.* See Note # 1 below	G.S. §§153A-340 G.S. § 1-50(5)
5.	<b>BOARD OF ADJUSTMENT CASE INDEX</b> Index to cases reviewed by the board.	Retain in office permanently. See Note # 2 below	

NOTE # 1: Hard copies of case files until the case is closed by (1) approval or denial by the applicable board (planning board, board of adjustment, board of commissioners) or withdrawal of the case by the applicant. After case closure, the case file is converted to a digital record and saved as a digital file in Accela and on the departmental server. The paper file is destroyed.

NOTE # 2: Accela serves as the case index.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>BOARD OF ADJUSTMENT MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Board of Adjustment.  See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming.  See Note # 3 below	a) The official minutes of the governing board and its subsidiary boards are permanent records.  b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.  c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after _____ in perpetuity. See Note # 2 on previous page.	
7.	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ADMINISTRATIVE RECORDS</b> Records concerning the administration of projects funded under the Community Development Block Grant program (CDBG). May include both direct grants and regrants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.	a) Retain in office records with historical value permanently.  b) Destroy in office all other records 5 years after completion of project.*	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)

NOTE # 3: Board agendas, minutes, orders & resolutions are permanently retained in digital format on the departmental server.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) APPLICATION RECORDS</b> Records concerning the application and completion of projects funded under CDBG funds. May include both direct grants and regrants, including the initial application, and all final reports.	Destroy in office 5 years after promissory note is released to client or lender.*	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)
9.	<b>COMPREHENSIVE LAND USE PLAN AND AMENDMENTS</b> Includes, but is not limited to, official copy of comprehensive land use plan and all background surveys, studies, reports, and draft versions of plans.	a) Retain in office permanently adopted plan and amendments.  b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	
10.	<b>CONDITIONAL USE PERMIT RECORDS AND INDEX</b> Records concerning applications for conditional use permits. Permits allow for the construction of buildings, on the condition that impacts on neighborhoods are mitigated. May include original application, blueprint drawings, investigative reports, planning commission recommendations, cash receipts, and related correspondence, including email. Includes sign permits and temporary use permits. Also includes reference copies of variances or exceptions from zoning regulations granted by the Board of Adjustment.	a) Destroy in office 3 years after discontinuance of use.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

NOTE # 4: Hard copies of case files until the case is closed by (1) approval or denial by the applicable board (planning board, board of adjustment, board of commissioners) or withdrawal of the case by the applicant. After case closure, the case file is converted to a digital record and saved as a digital file in Accela and on the departmental server. The paper file is destroyed.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DECLARATIONS AND BY-LAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.</b>	a) If not filed in Register of Deeds or similar agency, retain in office permanently.  b) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. § 47C-2-103
12.	<b>EASEMENT RELEASE REQUEST FILE</b> Approved and denied easement release requests. Includes form letters, memos, reference copies of maps, and resolutions approved by the Planning Board.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
13.	<b>ENVIRONMENTAL IMPACT STUDIES</b> Records and reports concerning the environmental impact of major projects proposed by localities and reviewed by local officials.	Retain in office permanently.	
14.	<b>FEASIBILITY STUDIES</b>	Retain in office permanently.	
15.	<b>HOUSING REHABILITATION PROGRAM RECORDS</b>	Follow the disposition instructions for <a href="#">COMMUNITY DEVELOPMENT BLOCK GRANT RECORDS</a> , items 7-8, pages 88-89.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>MAPS, DRAWINGS, PLATS (OFFICIAL)</b> Official representation of comprehensive plan, and zoning boundaries established and/or enforced by the agency. May include blueprint maps, which show streets, property lines, zoning boundaries, and area classifications. Includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems.  See also <a href="#">GEOSPATIAL RECORDS</a> , page x.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	
17.	<b>MAPS, DRAWINGS, PLATS (REFERENCE)</b> Illustrations prepared or collected to capture background information on land use conditions for staff reference and public information.	Destroy in office when superseded or obsolete.	
18.	<b>MASTER SUMMARY (LOG OR REGISTER)</b> Maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken.	Retain in office permanently.	
19.	<b>OPEN SPACE CLASSIFICATION CASE FILE</b>	Retain in office permanently.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<b>ORTHOPHOTOGRAPHY</b> Historical and legacy aerial imagery.	a) Retain in office negatives permanently.  b) If negative is not available, retain in office photograph permanently.  c) Destroy in office photographs where negative is available when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	
21.	<b>PERMITS: TEMPORARY MANUFACTURED HOME</b> Records created to temporarily authorize the location of a manufactured home on the same lot as a single family residence.	Destroy in office 6 years after permit expires.	G.S. § 1-50(5)
22.	<b>PERMITS: ZONING COMPLIANCE</b> For residential uses, non-residential uses, and accessory structures.	a) Retain in office permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where county is lead agency, permanently.  b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where county is not lead agency, 6 years after last entry.  c) Destroy in office any other permits and related records 6 years after last entry.	G.S. § 1-50(5)
23.	<b>PETITION &amp; REGULATION RECORDS</b>	Destroy in office after 5 years.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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

ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p><b>PLANNING AND ZONING BOARD MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Planning and Zoning Board.</p> <p>See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after _____</p>	
25.	<p><b>PLANNING AND ZONING STUDIES</b> Studies, plans, and reports of the planning and zoning department, board, or commission. Records are used as background information for reports, ordinances, resolutions, etc.</p> <p>See also <a href="#">COMPREHENSIVE PLAN</a> item 16, page 3.</p>	<p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>b) If not an element of the Comprehensive Plan, retain in office permanently.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.</p>	

NOTE # 5: Board agendas, minutes, orders & resolutions are permanently retained in digital format on the departmental server.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>PLANNING REVIEW CASE FILE</b> For required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, county planning action, or other required review; including, but not limited to, maps, plans, sketches, photographs, engineering reports, environmental impact statement and studies, copies of zoning records, project narrative, correspondence, including email, and record of final determination.	a) Retain plan reviews and related records containing subdivision, historical structure, major commercial or industrial development, or capital construction, where county is lead agency, permanently.  b) Destroy in office plan reviews and related records containing subdivision, historic structures, major commercial or industrial development, or capital construction, where county is not lead agency, 6 years after last entry.  c) Destroy in office any other mandatory reviews and related records 6 years after last entry.	G.S. § 1-50(c)
27.	<b>PRELIMINARY SUBDIVISION AND GROUP DEVELOPMENT SITE PLANS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____ upload to Accela.	
28.	<b>REDEVELOPMENT PLANNING RECORDS</b>  See also <a href="#">COMPREHENSIVE PLAN</a> item 16, page 3.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____  b) If not an element of the Comprehensive Plan, retain in office permanently.  c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.	
29.	<b>REFERRED PROJECTS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<b>REZONING RECORDS AND INDEXES</b> Records concerning applications to rezone property within the county. May include original applications, review forms, maps of areas involved, copies of investigative reports, copies of planning board minutes, notices of hearings, development agreements, copies of ordinances, and copies of county board of commissioners minutes.	Retain in office permanently.	
31.	<b>STREET NAMES AND CHANGES OF STREET NAMES FILE</b> Records concerning the names and addresses of streets and roads retained for administrative purposes.	Destroy in office when superseded or obsolete.	
32.	<b>SUBDIVISION RECORDS</b> Includes maps, plats, topographical data, names of streets, records of public utilities, action by council, etc.  See also <a href="#">MAPS: ALL OTHER</a> item 15, page 56.	a) If not filed in Register of Deeds or similar agency, retain in office permanently.  b) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
33.	<b>VARIANCES</b>	Retain official copies permanently in the minutes of the Planning Board.	
34.	<b>VIOLATIONS: ZONING</b>  See also <a href="#">CORRESPONDENCE (LEGAL)</a> item 7, page 64.	Destroy in office after 6 years.*	G.S. § 1-50(5)

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<b>ZONING ORDINANCES AND AMENDMENTS</b> Ordinances and amendments adopted by the zoning board.	Retain in office permanently.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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**STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS.**

Records received and created by area transit systems and authorities necessary to meet all statutory requirements.

*Comply with requirements of the Federal Transit Administration's **Best Practice Procurement Manual**, Master Agreement MA(11) Section 8 manual, and 49 CFR 18 regarding retention, access, security, and confidentiality of records where applicable.*

ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCREDITATION RECORDS</b> Records concerning compliance with standards outlined by accreditation programs.	Destroy in office 1 year after superseded.*	
2.	<b>AGENCY LOGS (SHEETS)</b> Records concerning individual agency ridership.	Destroy in office after 3 years.*	49 CFR 18.42
3.	<b>AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT RECORDS</b> Includes driver's daily assignments, dispatch records, logs of passenger pick-ups and drop-offs, manifests, trip requests, and appeal forms.	Destroy in office after 5 years.*	49 CFR 18.42
4.	<b>AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT VOUCHERS</b> Vouchers submitted by private transportation companies for reimbursement for alternative transportation of public transit clients.	Destroy in office after 5 years.*	49 CFR 18.42
5.	<b>AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS</b>	Destroy in office after 1 year.	49 CFR 18.42

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>APPLICATIONS FOR ART-IN-TRANSIT</b> Applications and supporting documentation submitted by regional and national artists for exhibit on agency property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
7.	<b>APPLICATIONS FOR AWARDS</b> Applications and supporting documentation used to apply for various public and private awards.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
8.	<b>APPLICATIONS FOR DISCOUNT PASSES</b> Applications, certificates of disability, and supporting documentation used to apply for discount passes.	Destroy in office 3 years after service is terminated or denied.	
9.	<b>APPLICATIONS FOR TRANSIT SERVICE</b> Includes customer applications, eligibility assessment records, correspondence, including email, health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
10.	<b>CALL IN LOGS (SHEETS)</b> Record concerning on-demand service requests.	Destroy in office after 5 years.*	49 CFR 18.42
11.	<b>CUSTOMER (RIDER) ALERTS</b> Records alerting customers of changes in regular service (e.g. detours, festivals, parades, etc.).	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	<b>CUSTOMER (RIDER) IDENTIFICATION RECORDS</b> Records concerning customer identification, approvals, denials, and related information.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS</b> Includes company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence, including email.	a) Destroy in office company-specific records 5 years after company is removed from certified list.  b) Destroy in office related DBE program records, including Federal Transit Administration reports, 5 years from date record was created.	49 CFR 26
14.	<b>DISPATCH RECORDS</b> Reports, logs, and similar records used to document dispatch activities.	Destroy in office after 5 years.	49 CFR 18.42
15.	<b>LOST AND FOUND RECORDS</b> Logs, sheets, and similar records documenting items recovered from agency facilities and vehicles. May include customer receipts for claimed items.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
16.	<b>NATIONAL TRANSIT DATABASE (NTD) REPORT</b> Annual report submitted to the Federal Transit Administration and used as the basis for calculating each system's funding. May include records (data) used to generate reports regardless of format.	Destroy in office 5 years.*	49 CFR 18.42
17.	<b>OPERATOR BID RECORDS</b> Cards, sheets, and similar records documenting operators' route selections and choice for a service period.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
18.	<b>OPERATOR SHIFT INSPECTION RECORDS</b> Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.	Destroy in office after 5 years.	49 CFR 18.42

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<b>RADIO DISPATCH RECORDINGS AND LOGS</b> Recordings and logs of dispatch messages to and from transit operators.	Destroy in office after 90 days.*	
20.	<b>RIDERSHIP REPORTS</b> Includes shuttle logs concerning regularly scheduled individual ridership.	Destroy in office after 5 years.	49 CFR 18.42
21.	<b>ROUTE HISTORY RECORDS</b> Includes descriptions of routes, bus stops, passenger lists, and other related records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
22.	<b>ROUTE MAINTENANCE RECORDS</b> Logs, sheets, and related records used to record needed road improvements.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
23.	<b>SAFETY CERTIFICATIONS</b> Records verifying that system elements such as vehicles, trolley and train cars, tracks, station components, and operating procedures comply with safety requirements.	Retain in office for life of structure or vehicle.	
24.	<b>SEAT BELT AND RESTRAINT SYSTEM RECORDS</b> Records concerning the use and installation of seat belts and other restraint systems in vehicles.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____ the life of the vehicle.	
25.	<b>SERVICE PERFORMANCE RECORDS</b> Records concerning quality control performance checks conducted on agency staff, contractors, and vendors.	a) Retain in office records with historical value permanently.  b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>SERVICE PLANNING AND DEVELOPMENT RECORDS</b> Includes records concerning changes in routes and transportation services offered by the agency.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
27.	<b>SHELTER RECORDS</b> Includes adopt a shelter program records, listings of shelter sites, site permission for right of way, easements, and related documentation.	a) Retain in office shelter blueprints for life of structure. b) Destroy in office remaining records when administrative value ends, or when site is no longer used.† Agency Policy: Destroy in office after _____ when the site is no longer used.	
28.	<b>TERMINAL DISPATCH RECORDS</b> Reports, logs, and similar records used to track daily terminal operations and activities.	Destroy in office after 1 year.	
29.	<b>TICKET CONSIGNMENT RECORDS</b> Logs, notebooks, and related records used to track tickets and passes provided to customers.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
30.	<b>TRIP REQUESTS</b> Passenger trip requests.	Destroy in office after 5 years.	49 CFR 18.42
31.	<b>TRANSIT SCHEDULES</b> Printed route schedules and related information used to generate schedules.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
32.	<b>TRANSPORTATION SYSTEM OPERATIONS REPORTS</b> Reports and supporting records summarizing transit system operations.	Destroy in office after 5 years.	49 CFR 18.42

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<b>TRANSPORTATION SYSTEM SERVICE PERFORMANCE EVALUATIONS</b>	Destroy in office after 1 year.	
34.	<b>TRANSPORTATION SYSTEM STATISTICAL RECORDS</b> Reports and supporting records showing passenger trips, mileage, service hours, on-time performance, missed and/or late trips, road call, ridership, and similar statistical information.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 5 years after records were created or project ends, whichever is later.	49 CFR 18.42
35.	<b>VANPOOL DRIVER APPLICATIONS</b> Applications and supporting records submitted by persons operating vanpool vehicles.	a) Destroy in office accepted applications 3 years after person leaves program. b) Destroy in office applications for persons not accepted for program after 1 year.	
36.	<b>VANPOOL MONTHLY USAGE REPORTS</b> Includes logs, sheets, reports and similar records documenting starting and ending mileage, total miles driven, route locations, passenger rosters, and similar information.	Destroy in office after 5 years.	49 CFR 18.42
37.	<b>VEHICLE BREAKDOWN RECORDS</b> Reports and similar records documenting response time, location, vehicle identification, and similar information.  See also <a href="#">WORK ORDERS</a> item 62, page 14.	Destroy in office after 1 year.	
38.	<b>VEHICLE OPERATOR INSTRUCTIONS</b>	Destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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



ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	<b>VEHICLE USAGE LOGS (SHEETS)</b> Includes date vehicle was used, pick-up and delivery locations, starting and ending mileage, total miles driven, and signature of driver.	Destroy in office after 1 year.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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**STANDARD-15. PUBLIC UTILITIES AND WASTE MANAGEMENT RECORDS**

Official records and materials created and accumulated for use by county sanitation, water, sewage, electrical, and gas operations.

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABANDONED UTILITY LINE RECORDS</b> Records documenting the location of abandoned utility lines.	Retain in office until abandoned line is removed.	
2.	<b>ANNUAL REPORTS (UTILITIES)</b> Reports sent to the Federal regulatory agency including annual reports, power system statements, and gas reports.	Destroy in office after 5 years.	
3.	<b>CABLE TELEVISION FRANCHISE RECORDS</b> Includes contracts, agreements, and notice of franchise.	a) Retain in office contracts, agreements, and notice of franchise for life of the franchise.  b) Destroy in office remaining records when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	G.S. §66-350(4)

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>CUSTOMER FINANCIAL RECORDS</b> Billing and receipt records concerning customer accounts. Includes billing adjustment records.	a) Destroy in office utility bills and receipts after 3 years.* b) Destroy in office copies of notices of unpaid bills after payment or deemed uncollectable. c) Destroy in office customer deposit records and direct draft authorizations 3 years after account is closed. d) Destroy in office customer account histories when administrative value ends. † Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
5.	<b>CUSTOMER USAGE RECORDS</b> Includes reports, plans, or similar records submitted by industrial users, or publicly-owned treatment works concerning intended or actual use of the system.	Destroy in office after 3 years.*	40 CFR 403.12(o)(3)
6.	<b>CUSTOMER WORK ORDERS</b> Includes service orders such as to connect and disconnect service or other maintenance functions.	Destroy in office 1 year after completion of work.	
7.	<b>LANDLORD AGREEMENTS</b> Agreements to automatically transfer utility accounts to landlords when their tenant vacates a property.	Destroy in office after 3 years.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>MAPS (UTILITY INSTALLATIONS &amp; DISTRIBUTIONS)</b> Includes maps, plats, charts, and similar records showing the location of water mains, valves, hydrants, meters, lines, etc., throughout the system.  See also <a href="#">GEOSPATIAL RECORDS</a> , page x.	Paper: Retain in office for life of system.  GIS dataset: Records 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> .	
9.	<b>METER RECORDS (ELECTRIC, WATER, GAS)</b> Includes meter reading records showing consumer consumption, and records concerning installation, testing, and calibration of devices.	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 remaining records after 3 years.*	
10.	<b>NOTICE TO PROPERTY OWNERS OF APPROVAL OF WATER UTILITY INSTALLATION</b>	Destroy in office after 2 years.	
11.	<b>OUTSIDE WASTE CLEARANCE RECORDS</b> Records allowing parties outside the county's jurisdiction to dispose of waste at landfill.	Destroy in office 3 years after expiration of agreement.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>PRETREATMENT PROGRAM RECORDS</b> Includes annual pretreatment reports, records of monitoring activities and results, water quality records, and other related documentation.	a) Destroy in office permits and supporting documentation 5 years after expiration, cancellation, revocation, or denial.*  b) Destroy in office remaining records after 3 years.*	15A NCAC 02H .0908(f)(1)  40 CFR 503.17
13.	<b>PUBLIC UTILITIES SYSTEM ENGINEERING, MAINTENANCE, AND REPAIR RECORDS</b> Includes records documenting installation, authorizations to construct, building plans, location, specifications, and maintenance history, for hydrants, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.	a) Retain in office as built plans and specifications permanently.  b) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred.  c) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.  d) Destroy in office background surveys, studies, reports, drafts, and other records when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.  15A NCAC 18C .0300 and 2H .0115
14.	<b>REPORTS: RECYCLING TONNAGE</b> Records documenting tonnage of materials collected at curb and dropped off at recycling centers.	Destroy in office after 3 years.	
15.	<b>SANITARY SURVEY RECORDS</b> Includes reports, summaries, studies, correspondence, including email, and other related records documenting the sanitary condition of system.	Destroy in office 10 years after completion of survey.*	40 CFR 141.33(c)  15A NCAC 18C .1526
16.	<b>SCALE HOUSE VIDEO MONITORING RECORDINGS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>SERVICE AGREEMENTS</b> Includes liquefied natural gas, electric, sewage, water and wastewater, and drainage maintenance agreements.	Destroy in office 3 years after termination or expiration.*	
18.	<b>SERVICE INTERRUPTION RECORDS</b> Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	
19.	<b>SEWER JETTING AND VECTORING RECORDS</b> Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	
20.	<b>SLUDGE TREATMENT RECORDS</b> Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans, and other related documentation.	Destroy in office after 5 years.*	40 CFR 503.17
21.	<b>SOLID WASTE CONVENIENCE CENTER FILE</b> Annual reports to the Department of Environment & Natural Resources – Division of Pollution Prevention & Environmental Assistance.	Destroy in office after the 5 year reporting period is complete.	
22.	<b>SOLID WASTE SERVICE FILE</b> Includes requests for service, billing records, and payment records.	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<b>TAP AND HOOK UP RECORDS</b> Applications, permits, contracts, logs, or similar records documenting location and installation of water and wastewater hookup and taps.	a) Destroy in office permits and contracts 3 years after termination or cancellation.*  b) Destroy in office denied applications and remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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**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**

- |   |                       |            |                   |
|---|-----------------------|------------|-------------------|
| <input type="checkbox"/> Add a new item             | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Delete an existing item    | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Change an retention period | 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



## REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**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 \_\_\_\_\_

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

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

Approved by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature (Requestor's supervisor) Date

Concurred by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date

**Certification of the Preparation of Records for Microfilming**

*Name of the county, municipality, or other public body that produced these records:*

Examples: [City of Raleigh] [Martin County] [Triangle Transit Authority] [High Country Council of Governments]

*Name of the board, council, department, or agency:*

Examples: [City Council] [Board of Commissioners] [ABC Commission] [Board of Delegates]

*The records included with this form are:*

- ☐ Minutes  
☐ Ordinances  
☐ Resolutions

- ☐ Attachments or Exhibits  
☐ Indexes  
☐ Other: \_\_\_\_\_

*Exact first and last dates of the records:*

Examples: [10/2/1998 – 12/23/2002] [1/12/2006 – 12/13/2007, in reverse order]

**NOTE: Please describe any irregularities (e.g. missing minutes, infrequent meetings) in a separate letter.**

*Volume and page numbers included:*

Examples: [v. 112 (p. 258-492) – 113 (p. 1-122)] [Books 23-27] [Pages 11873 – 13982] [v. 43, continuous]

The last volume listed is complete:

☐ Yes ☐ No

Do you want to purchase a copy of the film, at an additional charge?

☐ Yes ☐ No

Do you want to purchase a CD of the images, at an additional charge?

☐ Yes ☐ No

Do you want to be informed when this shipment is received?

☐ Yes ☐ No

Do you want to be informed when the microfilming has been completed?

☐ Yes ☐ No

☐ We have examined these records for accuracy and completeness. We have prepared these records according to the rules of the Government Records Branch of the Department of Cultural Resources. We understand that the records will be filmed in the order we have submitted them.

☐ **We understand that there will be a charge for each new reel of film used for our records, beginning July 1, 2008.**

Contact information:

Billing address:

Name: \_\_\_\_\_

\_\_\_\_\_

Email: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

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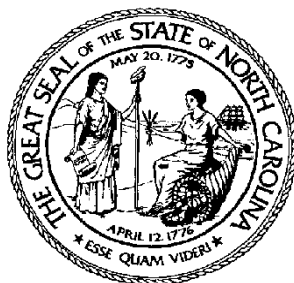
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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY TAX ADMINISTRATION



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April 17, 2013

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## Tax Administration 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 provision 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.***

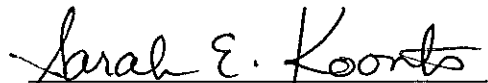
This local government agency and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative value ends.*" The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "*destroy when administrative value ends.*" If a municipality does not establish internal policies and retention periods, the municipality is not complying with the provisions of this retention schedule and is not authorized by the Department of Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative value ends.*"

The local government agency and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require 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 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

\_\_\_\_\_  
Tax Assessor/Collector

  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Chairman, Bd. County Commissioners

  
Susan W. Kluttz, Secretary  
Department of Cultural Resources

County: \_\_\_\_\_

April 17, 2013

## EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR 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 which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." 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 administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments, not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate records series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all agency employees and officials take our online tutorials 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, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions in a county. 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 assigned to your county 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 county tax administrators across the state and their staff to use when managing the records in their offices. It lists records commonly found in tax administration offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your office 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 it approved?***

- A.** This schedule must be approved the local Board of County Commissioners. 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. *Do I have 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 the definition of “administrative value”?***

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)

---

**Q. *What do I do with routing slips, fax cover sheets, reference copies, memory aids, reservations and confirmations, etc.?***

- A.** 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 guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

---

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

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect the organizational structure of your office, 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 office.

---

**Q. *I can’t 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 box” function on the PDF version of the schedule. If you still cannot locate your records on the schedule, then contact the Records Management Analyst assigned

to your county. We will work with you to amend this records schedule so that you may destroy records appropriately.

---

**Q. *What are public records?***

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

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

---

**Q. *Can anyone 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. *What about records that the law says are not public?***

- A.** Certain provisions in the General Statutes remove specific records from the category of "public records" as defined by G.S. §132-1. It is important to note that the only records which are not public records, are those individually described as such in the General Statutes. Certain records series on this records retention and disposition schedule are excluded from the definition of public records, and are marked as exceptions in the "Citation" column. For these series, the disposition instructions are only recommendations, and are not binding.

Unless otherwise specified, official records which are not public records are also exempt from the public inspection requirements outlined by G.S. §132-6.

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**Q. *Do I have to make copies of drafts available to the public that haven't been approved?***

- A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied 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. Permanent records must also have a security preservation duplicate, which is either a paper or microfilm copy.



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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 the Records Management Analyst assigned to your county for further assistance.

---

**Q. *I don't have any records.***

- A.** Nearly every position in government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren't 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 retained or destroyed in accordance with the provisions of the appropriate records schedule.

---

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

- A.** Public records are public property. While we encourage offices to find places to store records that do not take up too much valuable office space, the selected space should be dry, secured, 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. Do we have to let anyone who asks see them?***

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

---

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

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

---

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

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

---

**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 the Records Management Analyst assigned to your county. 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 about Statesville, call our Western Office in Asheville at (828) 296-7230 extension 224. East of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

## AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

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

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](#) item 7, page 2 and [AUDITS: FINANCIAL](#) item 5, page 14.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county tax office 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.

Per 26 CFR 1.148-5(d)(6)(iii)(E), retain all documents related to a financing, including those related to construction or purchase of the financed asset, for the life of the debt plus 3 years.

## 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 that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question below, “*How should I deal with my permanent records?*”)
- 

### **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:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated; or
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

**Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used. We do not recommend the disposal in a landfill of records containing confidential information.**

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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](#) (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

---

### **Q. *I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?***

- A.** At the end of this schedule is a form called the [Request for Disposal of Unscheduled Records](#). Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
- 

### **Q. *Do I have to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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: EMAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

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### **Q.    *When can I delete my email?***

- A.**    Email is a public record as defined by G.S. §121-5 and G.S. §132. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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 email 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 email simply because storage limits have been reached.** Some examples of email 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 will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

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### **Q.    *May I print my email to file it?***

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

---

### **Q.    *I use my personal email account for work. No one can see my personal email.***

- A.**    The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

---

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

- A.**    You may scan any record, including permanent records. You will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your office should follow our guidelines, available on the State Archives of North Carolina website. Contact the Records Management Analyst assigned to your county for further instructions on how to develop a compliant Electronic Records Policy.

**Permanent records** must have a security preservation copy as defined by the 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, photostatic, 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 security duplicate of permanent records must be either on paper or microfilm.**

**Non-permanent records** may be retained in any format, and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with 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 will have to convert all records to the new system so that you can assure their preservation and provide access.

---

**Q. *Computer storage is cheap. I'll just keep my computer records.***

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

---

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

**A.** The following documents are available on the State Archives of North Carolina website:

- Best Practices for Cloud Computing: Records Management Considerations
- Best Practices for Electronic Communication Usage in North Carolina: Text and Instant Message
- Best Practices for Electronic Communication Usage in North Carolina: Guidelines for Implementing a Strategy for Text and Instant Messages
- Best Practices for File Naming
- Best Practices for Social Media Usage in North Carolina
- Guidelines for Digital Imaging Systems
- Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
- Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

## **GEOSPATIAL RECORDS**

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**Q. *Why should 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 DCR 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.

---

**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.

Consult [STANDARD-8: PROGRAM OPERATIONAL RECORDS: LAND RECORDS](#) for additional records series.

---

**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.

---

**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 DCR. Consult the DCR – Government Records website at <http://www.records.ncdcr.gov/erecords/default.htm>

---

**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 and §153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass. 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 Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your county 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 the Records Management Analyst assigned to your county.

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 the analyst assigned to your county 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’re being filmed?***

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

---

### **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 minutes microfilming for more information.

---

### **Q. *I have some old minutes that aren’t 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.

---

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

- A.** Call the Records Management Analyst assigned to your county, 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 is trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle your larger disasters.

---

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

- A.** We will do everything we can to make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your county.

## **STAFF TRAINING**

---

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

- A.** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact your 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** – our basic introduction to the Public Records law and records management;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens.



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

- A.** Yes, we will. Let the Records Management Analyst assigned to your county know what type of training you need.

---

**Q. *Do we have to come to Raleigh for workshops?***

- 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 for Local Agencies:** Our basic introduction to the Public Records law and records management.
  - **Managing Your Inbox: Email as a Public Record:** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
  - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls:** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.



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-8. PROGRAM OPERATIONAL RECORDS: PROPERTY APPRAISAL RECORDS.** Records received and created by county tax offices necessary to meet all statutory requirements.

ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>APPRAISAL MONITORING RECORDS</b> Records used to discover unlisted and under-appraised real and personal property during non-revaluation years. May include field notes; correspondence, including email, to and from property owners; and similar records documenting changes in parcel features and characteristics used to update property records.  See also <a href="#">REVALUATION RECORDS</a> item 16, page 56.	a) Destroy in office records concerning real property after 10 years or two revaluation cycles, whichever occurs first.  b) Destroy in office records concerning personal property after two revaluation cycles.	G.S. §105-287
2.	<b>BOARD OF EQUALIZATION AND REVIEW (APPEALS FILE)</b> Records associated with appeals to the Board of Equalization and Review. May include appeal letters, hearing notices, listing information, affidavits, staff recommendations, and final actions.	Destroy in office after 8 years.*	G.S. §105-322 G.S. §105-323 G.S. §105-325

\*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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<p><b>BOARD OF EQUALIZATION AND REVIEW (MINUTES AND ATTACHMENTS)</b> As defined by § 143-318.10 (b), includes official and reference copies of the minutes of the Board of Equalization and Review, and all subsidiary and advisory boards. Subsidiary boards are defined as boards that exercise or are authorized to exercise legislative, policy-making, quasi-judicial, or administrative functions. Also includes minutes of subcommittees of the board and its subsidiary and advisory boards.</p> <p>See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the Board of Equalization and Review and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may only be destroyed upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after _____</p>	<p>G.S. §105-322 G.S. § 143-318.10</p>
4.	<p><b>DEFERRED TAXES</b> Records related to deferred tax programs, including, but not limited to, agricultural, horticultural, and forestland deferred taxes; wildlife conservation deferred taxes; and historical building deferred taxes. Does not include applications for deferral.</p> <p>See also <a href="#">PROPERTY EXEMPT FROM TAXATION FILE</a> item 9, page 55 and <a href="#">PRESENT USE VALUE RECORDS</a> item 8, page 55.</p>	<p>Destroy in office after 10 years or two revaluation cycles, whichever occurs first.</p>	<p>G.S. §105-277.6 G.S. §105-277.15 G.S. §105-285 G.S. §105-286 G.S. §105-287</p>

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>LOCAL GOVERNMENT COMMISSION REPORTS (DEPARTMENT OF REVENUE)</b>	Destroy in office after 3 years.	G.S. §105-291
6.	<b>LOCAL GOVERNMENT COMMISSION: VALUATION AND TAXES</b> Valuations of property owned by railroads, public utilities, etc., in the county.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-284
7.	<b>NORTH CAROLINA PROPERTY TAX COMMISSION (APPEALS FILE)</b>	Destroy in office 4 years after final settlement.	G.S. §105-290 G.S. §105-342
8.	<b>PRESENT USE VALUE RECORDS</b> Applications and supporting records submitted for land use value assessment program.	a) Retain in office approved applications and supporting records until superseded or obsolete.  b) Destroy in office denied applications and supporting records after 1 year.	G.S. §105-277.2 - .7 G.S. §105-296(j)
9.	<b>PROPERTY EXEMPT FROM TAXATION FILE</b> Records documenting a taxpayer's application for exemption from or deferral of taxes. Includes application and supporting records.	a) Retain approved applications and supporting records until there is a change in property's status.  b) Destroy in office denied applications and supporting records after 1 year.	G.S. §105-282.1
10.	<b>REAL ESTATE TRANSFERS FILE</b> Includes copies of deeds, death and probate abstracts, division orders, control sheets, and similar documentation used to update property records.	Destroy in office 1 year from date of transfer.	G.S. §105-303

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>REAL PROPERTY RECORDS (CARDS)</b> Uniform property records (paper and electronic) documenting ownership and value information, including parcel features and characteristics needed to reconstruct values.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-286 G.S. §105-317
12.	<b>REPORTS BY MULTI-COUNTY BUSINESS TAXPAYERS FILE</b>	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-313
13.	<b>REPORTS BY TRAILER PARKS, MARINAS, AND AIRCRAFT FACILITIES</b>	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105.316
14.	<b>REPORTS OF PERSONS HAVING CUSTODY OF TANGIBLE PROPERTY OF OTHERS FILE</b>	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-315
15.	<b>REPORTS TO THE DEPARTMENT OF ADMINISTRATION ON PROPERTY LISTED IN NAME OF UNKNOWN OWNER FILE</b>	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-302.1
16.	<b>REVALUATION RECORDS</b> Records used by appraisers to reappraise the value of real property on a four-year, eight-year, or similar cycle. May include field notes; correspondence, including email, to and from property owners; building and construction lists; ratio studies; area and neighborhood records used to estimate market values; and similar records documenting changes in parcel features and characteristics.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-286

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-8. PROGRAM RECORDS: PROPERTY APPRAISAL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>SPECIAL ASSESSMENT RECORDS</b> Includes rolls, schedules, ledgers and similar records listing amounts of assessment for streets, sidewalks, etc.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	
18.	<b>TAX ABSTRACTS AND LISTS</b> Complete record of real and personal property in the county, based on assessment lists. Includes name and address of taxpayer, along with descriptions of property owned and estimated values.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-309 G.S. §105-296
19.	<b>TAX RELIEF RECORDS</b> Records concerning tax relief programs, including, but not limited to, homesteading programs, elderly or disabled exclusions, and disabled veterans exclusions. Does not include applications for exclusions.  See also <a href="#">PROPERTY EXEMPT FROM TAXATION FILE</a> item 9, page 55 and <a href="#">PRESENT USE VALUE RECORDS</a> item 8, page 55.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-277.1
20.	<b>UNIFORM SCHEDULES OF VALUES, STANDARDS, AND RULES</b> Appraisal manuals used to determine market and income value of property for appraisal purposes.	Destroy in office after 10 years or two revaluation cycles, whichever occurs first.	G.S. §105-317

\*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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

**STANDARD-9. PROGRAM OPERATIONAL RECORDS: TAX COLLECTION RECORDS.** Records received and created by county tax offices in order to meet all statutory requirements. Comply with applicable provisions of G.S. §153A-148.1 regarding confidentiality of local tax records that contain information about a taxpayer's income or receipts.

ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ATTACHMENT AND GARNISHMENT RECORDS</b> Records regarding attachments or garnishments for the payment of taxes.	Destroy in office 3 years after final settlement.*	G.S. §105-368
2.	<b>BANKRUPTCY RECORDS</b> Records documenting the collection of taxes on property involved in bankruptcy cases.	Destroy in office 3 years after final settlement.*	G.S. §105-369
3.	<b>DEBT SETOFF PROGRAM RECORDS</b> Includes participation forms, information tracking sheets and correspondence, including email, between debtor and tax office.	Destroy in office 3 years after final settlement.*	G.S. §105A
4.	<b>DELINQUENT TAXPAYER RECORDS: REAL OR PERSONAL PROPERTY</b> Records documenting taxpayers who have not paid real or personal property taxes due, including unpaid notices.	Destroy in office after 10 years.*	
5.	<b>DELINQUENT TAXPAYER RECORDS: ADVERTISEMENT OF TAX LIENS AGAINST REAL PROPERTY</b> Records documenting the county taxation officer's publication of delinquent taxpayer and tax sales notices in the newspaper.	Destroy in office after 10 years.*	G.S. §105-369

\*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.



ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>IN REM FORECLOSURE PROCEEDING RECORDS</b>	Destroy in office 3 years after final settlement.*  <i>Retention Note: Agencies may wish to retain records of proceedings resulting in foreclosure and sale of property permanently.</i>	G.S. §105-375
7.	<b>MOBILE HOME RELOCATION TAX PERMITS</b> Assurances that taxes are being paid on mobile homes being moved.	Destroy in office after 5 years.*	G.S. §105-316.1-8
8.	<b>MORTGAGE STYLE FORECLOSURE PROCEEDING RECORDS</b> Amount of taxes owed, description of property, certified mail, and correspondence, including email, with taxpayer and attorney.	Destroy in office 3 years after final settlement.*	G.S. §105-374
9.	<b>PARTIAL PAYMENT PLANS</b> Installment and partial payment agreements, extensions, taxpayer information sheets, and related records.	Destroy in office 3 years after final settlement.*	G.S. §105-358
10.	<b>RELEASE AND REFUND RECORDS: REAL OR PERSONAL PROPERTY</b> Includes requests for release and refund submitted by taxpayer; correspondence, including email, to and from taxpayer; decisions of governing board; release and refund monthly reports; and supporting records.	a) Destroy in office release and refund monthly reports 1 year from date of submission.  b) Destroy in office all remaining records 3 years after final settlement.*	G.S. §105-381

\*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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>SKIPTRACKING RECORDS</b> Records gathered when attempting to locate taxpayers. May include lien holder information, copies of death certificates, and credit bureau records.  See also <a href="#">DELINQUENT TAXPAYER RECORDS</a> item 4, page 58.	Destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	
12.	<b>TAX COLLECTOR ANNUAL SETTLEMENTS</b> List of taxes collected by tax collector yearly, percentage of taxes collected, total releases, total balance due by tax year, and total county taxes collected. Sent to county commissioners and finance officer.	Destroy in office 3 years from date of submission.	G.S. §105-373
13.	<b>TAX COLLECTOR MONTHLY REPORTS</b> List of taxes collected by tax collector showing percentage of taxes collected, total releases, total balance due by tax year, and total county taxes collected. Sent to county commissioners and finance officer on a monthly and bi-monthly basis.	Destroy in office 1 year from date of submission.	G.S. §105-350

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-9. PROGRAM RECORDS: PROPERTY TAX COLLECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<b>TAX LEVY/SEIZURE RECORDS</b> Inventory of property taken from property owner by the county tax collector to pay back taxes.	a) Retain in office for 3 years execution forms if levy and sale of personal property is made. If levy and sale are conducted by Sheriff's Department, execution forms to be retained by the Sheriff's Department.  b) If levy, seizure, and sale are not made, destroy forms in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. §105-366 G.S. §105-367
15.	<b>TAX RECEIPTS (BILLS) FILE: REAL OR PERSONAL PROPERTY</b> Copies of receipts and bills issued for the payment of taxes.	Destroy in office after 3 years.	G.S. §105-381 G.S. §153A-148.1
16.	<b>TAX SCROLLS AND BOOKS: PRIOR TO 1900</b> Includes property valuation (real and personal) and amount of taxes due. These records may be prepared separately or combined.	Transfer to the State Archives.  <i>Retention Note: Tax scrolls may be transferred to the State Archives of North Carolina electronically. Contact your local records analyst for more information.</i>	G.S. §105-319
17.	<b>TAX SCROLLS AND BOOKS: FOR YEARS ENDING IN 0 AFTER 1900</b> Includes property valuation (real and personal) and amount of taxes due. These records may be prepared separately or combined.	Transfer to the State Archives.  <i>Retention Note: Tax scrolls may be transferred to the State Archives of North Carolina electronically. Contact your local records analyst for more information.</i>	G.S. §105-319
18.	<b>TAX SCROLLS AND BOOKS: ALL OTHER</b> Includes real and personal property, discovery, delinquent, and any other supplemental scroll, book, summaries, or recapitulations.	Destroy in office after 10 years or 1 year after released by the governing board, whichever occurs first.	G.S. §105-319

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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**STANDARD-10. PROGRAM OPERATIONAL RECORDS: LAND RECORDS.** Records received and created by county tax offices in order to meet all statutory requirements.

ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) BACKUP FILE</b>	Destroy in office system backup files when superseded or obsolete.	
2.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) CORE DATA</b> Geo-referenced data and metadata to facilitate the management, manipulation, analysis, modeling, representation, and spatial analysis of complex problems regarding planning and management of resources.	Retain in office parcel, boundary, zoning, and orthoimagery layers, with accompanying data sets, permanently.  <i>Retention Note: Other datasets should be kept according to standards and procedures set by GICC. Consult the GICC website at <a href="http://www.ncgicc.com/">http://www.ncgicc.com/</a>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</i>	
3.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) DATA DOCUMENTATION (METADATA)</b> Records created during development or modification of an automated system, which are necessary to access, retrieve, manipulate, and interpret data in that system; and records that explain the meaning, purpose, structure, local relationships, and origin of the data elements. May include data element dictionaries, file layout, codebooks and tables, and definition files.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) INTERNAL STANDARDS AND PROCEDURES</b> Includes requirements that are intended to make hardware, software, and data compatible and that cover data capture, accuracy, sources, base categories, output, and data element dictionaries.	Retain in office permanently.	
5.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) MONITORING RECORDS</b> Includes system security, quality assurance, transaction tracking, and other related activity monitoring records.	Destroy in office after 1 year.	
6.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) OPERATIONAL RECORDS</b> Includes user guides, system flowcharts, job or workflow records, system specifications, and similar documentation.	Destroy in office when the system is discontinued or when system data has been transferred to a new operating environment (platform).	
7.	<b>GEOGRAPHIC INFORMATION SYSTEM (GIS) PROJECT RECORDS</b>	a) Retain in office GIS datasets and accompanying documentation (metadata) with historical and/or legal value permanently.  b) Destroy in office remaining items when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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

ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>MAPPING PROJECT RECORDS</b> Includes county contract maps and all deliverable products for aerial photography, orthophotography, cartographic, cadastral, and digital mapping projects.	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset annually. To maintain permanently,</p> <p><b><u>Either:</u></b>  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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p> <p><b><u>Or,</u></b>  If retained in office permanently, 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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p>	

\*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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
9.	<b>MAPS: CARTOGRAPHIC AND ORTHOPHOTOGRAPHY</b> Base maps created to assist in the accurate appraisal of property located in the county, including aerial photographs.	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset annually. To maintain permanently,</p> <p><b><u>Either:</u></b>            Transfer snapshot to NOneMap according to established procedures, complying with standards and procedures adopted by the <a href="#">North Carolina Geographic Information Coordinating Council</a>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p> <p><b><u>Or,</u></b>            If retained in office permanently, 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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p>	

\*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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>MAPS: PARCEL</b> Maps, including cadastral maps, and surveys of boundaries and measurements of each parcel, and information about encroachments, rights-of-ways and structures.	<p>Paper: Destroy in office upon State Archives approval.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset quarterly. To maintain permanently,</p> <p><b><u>Either:</u></b>  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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p> <p><b><u>Or,</u></b>  If retained in office permanently, 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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p>	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>MAPS: STREET CENTERLINE</b>	<p>Paper: Retain in office permanently.</p> <p>GIS dataset: Records are permanent. Create a snapshot of dataset annually. To maintain permanently,</p> <p><b><u>Either:</u></b>            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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p> <p><b><u>Or,</u></b>            If retained in office permanently, 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>. See also <a href="#">GEOSPATIAL RECORDS</a>, page ix.</p>	
12.	<b>MAPS: INDEXES AND MANUSCRIPTS</b> Indexes and manuscripts showing map boundaries, scales, and similar identification data.	Destroy in office upon State Archives approval.	
13.	<b>MAPS: ALL OTHER</b> Includes field maps, soil, topographic, sales, subdivision plats, right-of-way, sectional, highway, etc.	<p>Retain in office maps, including GIS datasets and accompanying documentation (metadata), with historical and/or legal value permanently.</p> <p>Destroy in office remaining items when administrative value ends.†            Agency Policy: Destroy in office after _____</p>	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-10: PROGRAM RECORDS: LAND RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<b>PARCEL (REAL PROPERTY) RECORDS</b> Records containing detailed information on all parcels of real property located in the county. Includes copies of recorded deeds, and information about encroachments, right-of-ways and structures.	a) Retain in office records with historical value permanently. b) Destroy in office all other records after 10 years or two revaluation cycles, whichever occurs first.	
15.	<b>REAL PROPERTY CHANGE AND MAINTENANCE RECORDS</b> Records used to change information relating to a parcel of land, from a name or mailing address change to a correction in dimensions. Changes reported in these records are then made on the tax maps and property records.	Destroy in office after 1 year.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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**STANDARD-11. PROGRAM OPERATIONAL RECORDS: MOTOR VEHICLE RECORDS.** Records received and created by county tax offices in order to meet all statutory requirements.

ITEM #	STANDARD-11: PROGRAM RECORDS: MOTOR VEHICLE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ADDRESS CHANGE NOTICE AND CERTIFICATION FORMS</b> Copies of Division of Motor Vehicles form MAV-1 sent and received by local tax offices.	Destroy in office after 1 year.	G.S. §105-330.3
2.	<b>ANTIQUE VEHICLES REDUCED TAX VALUATION RECORDS</b> Applications and supporting documentation submitted for reduced tax valuation.	a) Retain approved applications and supporting records until superseded or obsolete.  b) Destroy in office denied applications and supporting records after 1 year.	G.S. §105-330.9
3.	<b>ATTACHMENT AND GARNISHMENT RECORDS: MOTOR VEHICLE</b> Records regarding attachments or garnishments for the payment of taxes.	Destroy in office 3 years after final settlement.*	
4.	<b>DELINQUENT TAXPAYER RECORDS: MOTOR VEHICLE</b> Records documenting taxpayers who have not paid real and personal property taxes due, including unpaid notices.	Destroy in office after 10 years.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTION](#), page vi.

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ITEM #	STANDARD-11: PROGRAM RECORDS: MOTOR VEHICLE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>MOTOR VEHICLE BLOCK RECORDS</b> Lists submitted to the North Carolina Division of Motor Vehicles of owners' name, addresses, and VIN numbers of vehicles on which taxes are unpaid. Also includes copies of block removal receipts created when taxes are paid.	a) Destroy lists submitted to the Division of Motor Vehicles when administrative value ends.† Agency Policy: Destroy in office after _____  b) Destroy copies of receipts in office after 1 year.*	G.S. §105-330.7
6.	<b>MOTOR VEHICLE REGISTRATION LISTS</b> Computer generated lists received from the North Carolina Division of Motor Vehicles or Property Tax Division on diskettes.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. §105-330.5
7.	<b>MOTOR VEHICLE SCROLLS AND BOOKS</b>	Destroy in office after 10 years or 1 year after released by governing board, whichever occurs first.	
8.	<b>MOTOR VEHICLE TAX ADJUSTMENT RECORDS</b> Taxpayer completed property information sheets and reports used to appraise the value of travel and utility trailers, campers, motor homes, converted buses, high mileage vehicles, etc.	Destroy in office after 3 years.	G.S. §105-330.2 G.S. §105-330.5
9.	<b>PROPERTY SEIZURE AND LEVY RECORDS: MOTOR VEHICLE</b> Records concerning vehicles seized by the county to pay back taxes.	Destroy in office 3 years after sale of property.*  <i>Retention Note: If a law enforcement agency carried out seizure and sale, execution forms are to be retained by that agency.</i>	G.S. §105-367

\*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-11: PROGRAM RECORDS: MOTOR VEHICLE RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>RELEASE AND REFUND RECORDS: MOTOR VEHICLE</b> Records documenting the release and refund of taxes due. May include Division of Motor Vehicle form FS-20 "Receipt of Tag Surrender" and proofs of ownership, transfer, bill of sale, insurance cancellation, out of state registration, and related records.	a) Destroy in office release and refund monthly reports 1 year from date of submission.  b) Destroy in office all remaining records 3 years after final settlement.*	G.S. §105-330.6
11.	<b>STATE TITLING AND REGISTRATION SYSTEM (STARS) FILE</b> Electronic database maintained by the Division of Motor Vehicles	Destroy in office printouts produced from the system when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	<b>TAX ABSTRACTS AND LISTS: MOTOR VEHICLE</b> Record of all registered and unregistered vehicles in the county. Includes name and address of taxpayer along with descriptions of property owned.	Destroy in office after 10 years.	G.S. §105-330.3
13.	<b>TAX RECEIPTS (BILLS) FILE: MOTOR VEHICLE</b> Copies of notices mailed to taxpayers and receipts of payment.	Destroy in office after 3 years.	G.S. §105-330.5 G.S. §153A-148.1

\*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

**STANDARD-12. PROGRAM OPERATIONAL RECORDS: BUSINESS AND OTHER TAX RECORDS.** Records received and created by county tax offices in order to meet all statutory requirements. Comply with applicable provisions of G.S. §153A-148.1 regarding confidentiality of local tax records that contain information about a taxpayer's income or gross receipts.

ITEM #	STANDARD-12: PROGRAM RECORDS: BUSINESS AND OTHER TAX RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ANIMAL LICENSE RECORDS</b> Records concerning the payment of license fees.	Destroy in office after 3 years.*	
2.	<b>BEER AND WINE LICENSE TAX RECORDS</b> Issuance and payment records concerning licenses to sell alcohol.	Destroy in office 3 years after expiration.*	G.S. §105-113.78 G.S. §105-113.88
3.	<b>GOING-OUT-OF-BUSINESS LICENSES</b> Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
4.	<b>HEAVY EQUIPMENT TAX</b>	Destroy in office after 3 years.*	
5.	<b>MOTOR VEHICLE RENTAL TAX</b>	Destroy in office after 3 years.*	
6.	<b>PREPARED FOOD AND BEVERAGE TAX</b>	Destroy in office after 3 years.	G.S. §160A-480.3
7.	<b>PRIVILEGE LICENSE CITATION RECORDS</b> Records documenting citations issued by license inspectors for non-compliance with business license requirements.	Destroy in office after 3 years.	

\*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-12: PROGRAM RECORDS: BUSINESS AND OTHER TAX RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>PRIVILEGE LICENSES</b> Records documenting the county's issuance of business privilege and license renewal notices, receipts, and periodic reports.	Destroy in office 3 years after license expires.	G.S. §105-33 G.S. §105-37.1 G.S. §105-38.1 G.S. §105-40 G.S. §105-105
9.	<b>ROOM OCCUPANCY TAX</b>	Destroy in office after 3 years.	G.S. §160A-480.3

\*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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.



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## 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

- |   |                       |            |                   |
|---|-----------------------|------------|-------------------|
| <input type="checkbox"/> Add a new item             | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Delete an existing item    | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Change an retention period | 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



## REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**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 \_\_\_\_\_

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

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

Approved by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature (Requestor's supervisor) Date

Concurred by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date



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

*If you have questions, call (919) 814-6900 and ask for the Records Management Analyst assigned to your agency.*

This form is used to request approval from the Department of 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>		

Record Series Title A group of records as listed in records retention schedule	Description of Records Specific records as referred to in-office	Inclusive Dates (1987-1989; 2005-present)	Approx. Volume of Records (e.g. "1 file cabinet," "5 boxes")	Retention Period 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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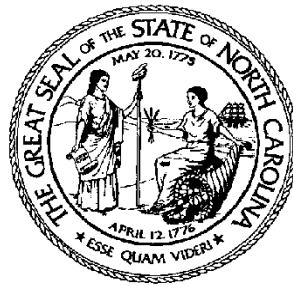
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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## PUBLIC LIBRARIES



Issued By:

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

**October 12, 2009**

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## PUBLIC LIBRARY

### Records Retention and Disposition Schedule


The records retention and disposition schedule and retention governing the records series listed herein are hereby approved. In accordance with the provision 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. 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.

This local government agency and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official public records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative purposes and when the Department certifies that such records appear to have no further use or value for research or reference, then such records may be destroyed or otherwise disposed of by the agency having custody of them. This local government agency agrees to establish and enforce internal policies that will specify how long those records must be retained, and when they must be destroyed.

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

\_\_\_\_\_  
Library Director

  
\_\_\_\_\_  
David Brook, Director  
Division of Historical Resources

#### APPROVED

\_\_\_\_\_  
Chairman, Library Board of Trustees

  
\_\_\_\_\_  
Linda A. Carlisle, Secretary  
Department of Cultural Resources

County/Municipality/Region: \_\_\_\_\_

October 12, 2009

## EXECUTIVE SUMMARY

According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources. This schedule is the primary way DCR gives its consent. Without approving this schedule, your library is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.

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

The Department of Cultural Resources provides microfilming of the minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver negative (the original) in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county for the most current information.

## MANAGING PUBLIC RECORDS IN NORTH CAROLINA

---

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

- A.** This document is a tool for the employees of public libraries across the state to use when managing the records in their offices. It lists records commonly found in public library offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your public library and the Department of Cultural Resources.

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

---

**Q. *How do I get it approved?***

- A.** This schedule must be approved by the governing board of the library 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.

---

**Q. *Do I have 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. *Do the standards correspond to the organizational structure of my library?***

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records are grouped according to the organizational structure of your library, or you may find that records are located in various standards depending on the content of the record. The intent of the schedule is to provide an easy reference guide for the records created in your library.

---

**Q. *I can’t find some of my records on this schedule.***

- A.** Call the Records Management Analyst assigned to your county. We will work with you to amend this records schedule so that you may destroy records appropriately.

---

**Q. *What are public records?***

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

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

---

**Q. *Can anyone see my records?***

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

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

---

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

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

---

**Q. *Do I have to make copies of drafts available to the public that haven't been approved?***

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

---

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

**A.** Permanent records should be maintained in the office that created the records, forever. They must also have a preservation duplicate, which is either a paper or microfilm copy. The State Archives will store the silver halide (original) copy of your microfilm, as long as it has been properly processed.

---

**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 the analyst assigned to your county for further assistance.

---

**Q. *I don't have any records.***

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

---

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

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

---

**Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?***

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

---

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

**A.** Probably not. The State Archives collects only very specific types of records from county and municipal offices. You are certainly welcome to contact the analyst assigned to your county for more information about appraisal and accessioning.

---

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

**A.** Call the analyst assigned to your county. We will help you examine the records and assess their historical value.

---

**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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

---

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

**A.** If you are located west of about Statesville, call our Western Office in Asheville at (828) 274-6789. East of Statesville, all the way to the coast, call our Raleigh office at (919) 814-6900.

## AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS

---

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

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** Item 6, page 2 and **AUDITS: FINANCIAL** Item 6, page 13.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the library 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.

## DESTRUCTION OF PUBLIC RECORDS

---

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

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question below, “*How should I deal with my permanent records?*”)
- 

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

- A.** After your library has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated;
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.

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

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used.

---

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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 to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

---

### ***Q. I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?***

- A.** At the end of this schedule is a form called the **Request and Approval of Unscheduled Records Disposal**. Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
- 

### ***Q. Do I have to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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.
- 

### ***Q. Computer storage is cheap. I'll just keep my computer records.***

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

### ***Q. Can I give my old records to the historical society?***

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



## ELECTRONIC RECORDS AND DIGITAL IMAGING

---

### ***Q. When can I delete my email?***

- A.** Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. 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 email 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 email simply because storage limits have been reached.

Three of our publications will be particularly helpful (available online at <http://www.records.ncdcr.gov/>):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
  - *North Carolina Public Records with Short-Term Value: Guidelines for their Retention and Disposition*
- 

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

- A.** You may scan any record, including permanent records. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self Warranty process, develop an Electronic Records Policy, and complete a copy of the **Request to Destroy Records Duplicated by Electronic Means**, (located at the end of this schedule). Then submit all three to us.

**Permanent records** must have a preservation copy as defined by 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 have to take precautions with records that you must keep more than about 10 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the **Request to Destroy Records Duplicated by Electronic Means** form for our approval.

---

### ***Q. Do I have to print my email to file it?***

- A.** As long as the email is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format.
- 

### ***Q. Computer storage is cheap. I'll just keep my computer records.***

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

### ***Q. I use my personal email account for work. No one can see my personal email.***

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

## MICROFILM

---

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

- A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. §8-45 and §153A-436. Our office 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.

Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection.

---

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

- A.** The Department of Cultural Resources provides microfilming of minutes of major decision-making boards and commissions. Once those records are filmed, we will store the silver original in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county 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 <http://www.records.ncdcr.gov/imaging.htm#minutes>) with each shipment. For more detailed instructions, contact the analyst assigned to your county.

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 the analyst assigned to your county 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’re being filmed?***

- A.** Just call the Raleigh Office at (919) 814-6900, and ask for the analyst in charge of minutes.
- 

### ***Q. Can I email you my minutes?***

- A.** Not at this time. We require photocopies of the approved minutes, complete with signatures.
- 

### ***Q. I have some old minutes that aren’t 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.
- 

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

- A.** Call the analyst assigned to your county, 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 Local Records Program or (919) 814-6876 for the State Preservation Officer. If you're in the western part of the state, call our Asheville Office at (828) 274-6789. 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 is trained in preliminary recovery techniques, and professional vendors can handle your larger disasters.

---

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

- A.** We will do everything we can to make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the analyst assigned to your county.
- 

## STAFF TRAINING

---

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

- A.** While we have a group of prepared workshops that we can offer at any time, we are also happy to work with you directly to develop training suited to your specific needs. Our basic workshops are:
- **Managing Public Records: Law and Practice in North Carolina** – our basic introduction to the Public Records law and records management;
  - **Evaluating Filing Systems** – how to evaluate and improve paper or electronic filing systems;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens;
  - **Microfilming as a Preservation Tool: Digital Imaging and Microfilm** – why microfilm is still used, and how it can work with digital technologies.
- 

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

- A.** Yes, we will. Let the analyst assigned to your county know what type of training you need.
- 

***Q. Do we have to come to Raleigh for workshops?***

- 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.
-

## PUBLIC RECORDS WITH SHORT-TERM VALUE

### *GUIDELINES FOR THEIR RETENTION AND DISPOSITION*

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 guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material;
- routing slips or other records that transmit attachments;
- reservations and confirmations;
- personal messages (including electronic mail) not related to official business;
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records;
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business;
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.



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-6. PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS**

Official records and materials created and accumulated by county, municipal, and regional library systems.

<i>ITEM #</i>	<i>STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	<b>ACQUISITIONS FILE</b> Lists of library materials ordered and received.	Destroy in office when superseded.	
2.	<b>CATALOGING REPORTS AND STATISTICS</b> Routine reports of cataloging work accomplished.	Retain in office for 1 year.	
3.	<b>CIRCULATION RECORDS – ITEM HISTORY</b> Records documenting the circulation history of specific items in the library collection.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
4.	<b>CIRCULATION RECORDS – USER HISTORY</b> Records documenting the borrowing history of library users.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
5.	<b>COMPUTER WORKSTATION RESERVATIONS</b> Logs and sign-in sheets for public computers.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
6.	<b>EQUIPMENT USE RECORDS</b> Records of the loan or use of library equipment by the public and may include the loan or use of public access computers, DVD, or videotape players, cassette tape recorders, film projectors and other audio-visual equipment.	Destroy in office when administrative value ends.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
7.	<b>FEDERAL DEPOSITORY ACCOUNT FILE</b> Deposit Account Statements (GPO Form 1395) which provide data concerning the library's account at the Superintendent of Public Documents Office. Forms may include account numbers, stock numbers, account balances and other related information. May include other records concerning the library's account.	Destroy in office after 5 years.*	
8.	<b>FEDERAL DEPOSITORY LIBRARY CERTIFICATION</b> Records concerning the certification of the library by the Superintendent of Documents for being an authorized depository library. File may include certificate of inspections, correspondence regarding the status of the library's certification, inspection reports and related records.	Destroy in office when administrative value ends.	
9.	<b>FEDERAL DEPOSITORY SHIPPING LIST</b> Shipping list concerning depository items received from the Government Shipping Office. Shipping list may include description of items, classification numbers, item numbers and related information.	Destroy in office after 2 years.	
10.	<b>FEDERAL DOCUMENTS CHECK-IN RECORDS</b> Information concerning library receipt of Federal Documents.	Destroy in office when administrative value ends.	
11.	<b>FEDERAL DOCUMENTS STATISTICAL TRACKING REPORTS</b> Reports concerning totals of federal documents received and/or destroyed by the library. Reports may include total number of acquisitions, total number of document withdrawals, and total number of documents remaining in the collection.	Destroy in office when administrative value ends.	

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

ITEM #	STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>FINES AND REPLACEMENT CHARGE RECORDS</b> Records relating to payments for fines and replaced library materials. Includes interlibrary loan materials.	a) Destroy in office individual user records when administrative value ends.  b) Transfer other records as applicable to <b>DAILY CASH REPORT</b> item 24, page 16.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
13.	<b>HOLDINGS FILE</b> Inventory of the library's holdings. Also known as Catalog Cards or Shelf list.	Destroy in office when superseded.	
14.	<b>INTERLIBRARY LOAN DUPLICATION RECORDS</b> Records of expenses and reimbursements to copy or duplicate materials for interlibrary loans.	a) Destroy in office individual user records when administrative value ends.  b) Transfer other records as applicable to <b>DAILY CASH REPORT</b> item 24, page 15.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
15.	<b>INTERLIBRARY LOAN REQUEST FILE (BORROWING LIBRARY)</b> Interlibrary loan requests made from other libraries.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
16.	<b>INTERLIBRARY LOAN REQUEST FILE (LENDING LIBRARY)</b> Interlibrary loan requests received from other libraries.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
17.	<b>LIBRARY ANNUAL REPORT</b> Annual report submitted to the Department of Cultural Resources.	Retain in office permanently.	G.S. §125-5

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.



<i>ITEM #</i>	<i><b>STANDARD-6: PROGRAM OPERATIONAL RECORDS: LIBRARY RECORDS</b></i>		
	<i><b>RECORD SERIES TITLE</b></i>	<i><b>DISPOSITION INSTRUCTIONS</b></i>	<i><b>CITATION</b></i>
18.	<b>LIBRARY USAGE STATISTICS</b> Statistics collected on library usage, items circulated, information requests, and other library sponsored activities.	Destroy in office when incorporated into annual report.	
19.	<b>PROGRAM REGISTRATION RECORDS</b> Registration records for library sponsored events and may include sign-up sheets or completed registrations.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
20.	<b>REFERENCE REQUEST RECORDS</b> Records of reference requests submitted by users.	Destroy in office when administrative value ends.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.
21.	<b>USER APPLICATIONS</b> Forms submitted by individuals to request borrowing privileges from the library.	a) Destroy in office upon verification of input into automated system.  b) Retain in office 30 days after expiration if not entered into an automated system.	Comply with applicable provisions of G.S. §125-19 regarding confidentiality of library user records.

\*See *AUDITS, LITIGATION AND OTHER OFFICIAL ACTIONS*, page v.

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**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**

- |   |                       |            |                   |
|---|-----------------------|------------|-------------------|
| <input type="checkbox"/> Add a new item             | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Delete an existing item    | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Change an retention period | 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

## REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**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 \_\_\_\_\_

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

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

Approved by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature (Requestor's supervisor) Date

Concurred by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date



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

*If you have questions, call (919) 814-6900 and ask for the Records Management Analyst assigned to your agency.*

This form is used to request approval from the Department of 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>		

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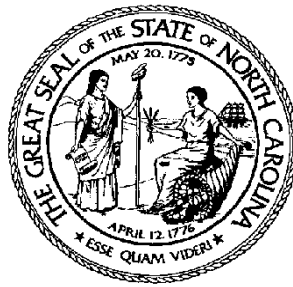


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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY BOARD OF ELECTIONS



Issued By:



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

April 4, 2012

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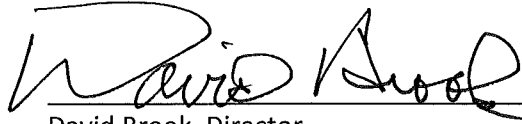
## County Boards of Elections Records Retention Schedule

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision 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. 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 Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative/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 Cultural Resources has scheduled with the disposition instruction "*destroy when administrative/reference value ends.*" If an office does not establish internal policies and retention periods, the office is not complying with the provisions of this retention schedule and is not authorized by Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative/reference value ends.*"

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



David Brook, Director  
Division of Historical Resources

### APPROVED



Gary O. Bartlett, Executive Director  
State Board of Elections



Linda A. Carlisle, Secretary  
Department of Cultural Resources

### ACKNOWLEDGED (AGREED TO COMPLY)

\_\_\_\_\_  
County Board of Elections, Director

\_\_\_\_\_  
Chairman, County Board of Elections

*April 4, 2012*  
~~August 29, 2011~~ *600*

\_\_\_\_\_  
County/Region

## EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). This schedule is the primary way DCR gives its consent. Without approving this schedule, your office is obligated to obtain the Department's permission to destroy *any* record, no matter how insignificant.
- ✓ Each record series listed on this schedule has specific disposition instructions which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative/reference value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." Your agency must establish and enforce internal policies by setting minimum retention periods for the records that the Department of Cultural Resources has scheduled with the disposition instructions "destroy when administrative/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 records were created. E-mail should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate record series for specific e-mails, and retain them according to the disposition instructions.
- ✓ The Department of Cultural Resources recommends that all agency employees and officials take our online tutorials in order to familiarize themselves with records management principals and practices. DCR's online tutorials include topics such as records management, utilizing the retention schedule, e-mail management, and scanning guidelines.
- ✓ The Department of Cultural Resources provides microfilming of the minutes of major decision-making boards and commissions in a county. 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 analyst assigned to your county 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 county board’s of elections across the state to use when managing the records in their offices. It lists records commonly found in board of elections offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your office and the Department of Cultural Resources.

This schedule serves as the inventory and schedule that the Department of Cultural Resources 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 it approved?***

- A.** This schedule must be acknowledged by the governing board of your county board of elections. 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.
- 

**Q. *Do I have 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 the definition of “administrative value”?***

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)
- 

**A. *Do the standards correspond to the organizational structure of my office?***

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect according to the organizational structure of your office, 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 office.
- 

**Q. *I can’t find some of my records on this schedule.***

- A.** Contact the Records Management Analyst assigned to your county. We will work with you to amend this records schedule to include records so that you may destroy them appropriately.
- 

**Q. *What are public records?***

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

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

---

**Q. *Can anyone 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.

---

**Q. *Do I have to make copies of drafts available to the public that haven't been approved?***

**A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied 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. Permanent records must also have a preservation duplicate, which is either a paper or microfilm copy. The State Archives will store the silver halide (original) copy of your microfilm, as long as it has been properly processed.

---

**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 the analyst assigned to your county for further assistance.

---

**Q. *I don't 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 aren't 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 retained or destroyed in accordance with the provisions of the appropriate records schedule.

---

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

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

---

**Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?***

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

---

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

- A.*** Probably not. The State Archives collects only very specific types of records from county offices. Contact the records management analyst assigned to your county for more information about which records are held or can be transferred to the State Archives for permanent preservation.

---

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

- A.*** Call the analyst assigned to your county. We will help you examine the records and assess their historical value.

---

***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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

---

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

- A.*** If you are located west of about Statesville, call our Western Office in Asheville at (828) 274-6789. 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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***No record involved in a pending audit, legal or other official action may be destroyed before that audit or action is resolved.***

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** Item 6, page 2 and **AUDITS: FINANCIAL** Item 6, page 16.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county board of elections 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.

## DESTRUCTION OF PUBLIC RECORDS

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

- A. Each record series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question below, “*How should I deal with my permanent records?*”)
- 

***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:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated;
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used.

---

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

- A. Contact the Records Management Analyst assigned to your county. Your 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 to be preserved permanently.

If the records do not have historical value, we will ask you to complete a **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

---

***Q. I have some old records that aren't on this schedule, but that we don't use any more. How can I get them destroyed?***

- A. At the end of this schedule is a form called the **Request and Approval of Unscheduled Records Disposal**. Complete that form and submit it to us. We will get in touch with you, and make a determination about that destruction.
- 

***Q. Do I have to tell anyone about the destruction?***

- A. We recommend that you report on your records retention activities to your Board of Commissioners 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.
- 

***Q. Computer storage is cheap. I'll just keep my computer records.***

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

---

**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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives.

**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. E-mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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.***

Our publications will be particularly helpful in managing your e-mail (available online at <http://www.records.ncdcr.gov/>):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

---

**Q. Do I have to print my e-mail to file it?**

- A.** As long as the e-mail is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format. Permanent records should be printed and kept in human readable form.

---

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

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

---

**Q. We have an imaging system. Do we have to keep the paper?**

- A.** You may scan any record, including permanent records. You will need to get approval from our agency in order to destroy paper originals that have been digitized. Your office should follow the instructions in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* to conduct the Self Warranty process, develop an Electronic Records Policy, and complete a copy of the **Request to Destroy Records Duplicated by Electronic Means**, (located at the end of this schedule). Then submit all three to us.

**Permanent records** must have a preservation copy as defined by 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, and therefore you may be approved to destroy hard copy originals after proper imaging. You will have to take precautions with records that you must keep more than about 10 years. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. Your office will still be required to conduct the Self-Warranty process, establish an Electronic Records Policy, and submit the **Request to Destroy Records Duplicated by Electronic Means** form for our approval.

---

**Q. *Computer storage is cheap. I'll just keep my computer records.***

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

---

**Q. *For Further Guidance regarding the creation and handling of electronic public records.***

- A.** The following documents are available on the Government Records Branch Website <http://www.records.ncdcr.gov/>):
- Best Practices for File Naming
  - Guidelines for Digital Imaging Systems
  - Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files
  - Best Practices for Social Media Usage in North Carolina

## MICROFILM

---

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

- A.** Microfilm is a legally acceptable replacement for original records, as outlined in G.S. §8-45 and §153A-436. Microfilm can be read with nothing more sophisticated than a magnifying glass. There is no software to keep current. Usually, deterioration in the film itself can be detected by visual inspection. Our office 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 Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. Once those records are filmed, we will store the silver original in our security vault.

There is a nominal fee for filming and duplicate film. Contact the analyst assigned to your county 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 <http://www.records.ncdcr.gov/imaging.htm#minutes>) with each shipment. For more detailed instructions, contact the analyst assigned to your county.

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 the analyst assigned to your county 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’re being filmed?***

- A.** Just call the Raleigh Office at (919) 814-6900, and ask for the analyst in charge of minutes.

---

**Q. *Can I e-mail you my minutes?***

- A.** Not at this time. We require originals or photocopies of the approved minutes, complete with signatures.

---

**Q. *I have some old minutes that aren’t 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.

---

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

- A.** Call the analyst assigned to your county, 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 Local Records Program or (919) 814-6876 for the State Preservation Officer. If you’re in the western part of the state, call our Asheville Office at (828) 274-6789. 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 is trained in preliminary recovery techniques, and professional vendors can handle your larger disasters.

---

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

- A.*** We will do everything we can to make a visit to you at the earliest opportunity 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 to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the analyst assigned to your county.

## **STAFF TRAINING**

---

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

- A.*** We have a group of prepared workshops that we can offer at any time at various locations throughout the state. Contact your 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: Law and Practice in North Carolina** – our basic introduction to the Public Records law and records management;
  - **Evaluating Filing Systems** – how to evaluate and improve paper or electronic filing systems;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens;
  - **Microfilming as a Preservation Tool: Digital Imaging and Microfilm** – why microfilm is still used, and how it can work with digital technologies.

---

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

- A.*** Yes, we will. Let the analyst assigned to your county know what type of training you need.

---

***Q. Do we have to come to Raleigh for workshops?***

- 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.*** Yes. There are several online tutorials available on our website (<http://www.records.ncdcr.gov/workshops.htm>), including:
- **Managing Public Records for Local Agencies**- our basic introduction to the Public Records law and records management.

- **Managing Your Inbox: E-mail as a Public Record-** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this workshop you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.
- **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls-** In addition to face-to-face workshops, the Government Records Branch is now offering an online tutorial combining an introduction to public records, electronic records, and handling e-mail.

## **PUBLIC RECORDS WITH SHORT-TERM VALUE**

### ***GUIDELINES FOR THEIR RETENTION AND DISPOSITION***

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 guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material;
- routing slips or other records that transmit attachments;
- reservations and confirmations;
- personal messages (including e-mail) not related to official business;
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records;
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business;
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives.

The records described above may be destroyed or otherwise disposed of when their reference value ends.

**These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records.** They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including e-mail) until it receives approval of its **Request and Approval of Unscheduled Records Disposal** (located at the end of this schedule). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.





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-7. PROGRAM OPERATIONAL RECORDS: CANDIDACY, CAMPAIGN FINANCE, AND PETITIONS RECORDS**

Records created and received by county boards of elections and used in connection with conducting local, state, and federal elections.

ITEM #	STANDARD-7: PROGRAM OPERATIONAL RECORDS: CANDIDACY AND CAMPAIGN FINANCE RECORDS AND PETITIONS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>CAMPAIGN CONTRIBUTION AND EXPENDITURE REPORTS</b> Includes all reports, statements, and other documents filed with county boards of elections per Article 22A Regulating Contributions and Expenditures in Political Campaigns.	Destroy in office remaining records 3 years after the close of a committee, unless it is a candidate committee and the candidate continues to hold elected office. In those cases destroy candidate committee records 3 years after the candidate has left elected office and has closed all his candidate committees.	G.S. § 163-278.40
2.	<b>CANDIDACY RECORDS</b> Includes applications, pledges and notices, filing fee records, withdrawals, certification of registration and party affiliation, and all other related documentation.	Retain for election cycle plus term of office.	G.S. § 163 Articles 10 and 11
3.	<b>CANDIDATES LISTS</b> Records listing all candidates and offices sought.	Destroy in office when administrative value ends.  Local Policy: Destroy in office after upload to _____. † election software. Maintain in digital format for at least 10 years.	
4.	<b>PETITIONS AND CERTIFICATIONS FOR NEW PARTY (COPIES)</b>	Destroy in office 1 year after submission of petition for certification of names.	G.S. § 163-96
5.	<b>PETITIONS FOR ELECTIONS AND REFERENDA</b>	Destroy in office 1 year from date of registration.	G.S. § 163 Article 19

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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

6.	PETITIONS FOR NOMINATION (COPIES)	Destroy in office when administrative value ends.  Local Policy: Destroy in office after <u>petition originals</u> <sup>†</sup> sent to State Board for Presidential Preference Primary candidates	G.S. § 163-213.5
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*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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

**STANDARD-8. PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS.** Records created and received by county boards of elections and used in connection with conducting local, state, and federal elections.

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABSENTEE BALLOT APPLICATIONS</b> Generated electronically. Includes both Mail-in and One-Stop Absentee ballots.	Destroy in office 1 year from date they were received.	G.S. § 163-233
2.	<b>ABSENTEE VOTER REGISTER</b> Lists, catalogs, indexes, and registers of approved civilian and military absentee voters who have been mailed absentee ballots.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	G.S. § 163-228 42 U.S.C. 1973gg et seq.
3.	<b>ABSENTEE VOTER POLL BOOK</b> Lists of civilian and military voters in each precinct who have executed absentee ballots.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	G.S. § 163-234(5) 42 U.S.C. 1973gg et seq.

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>ABSENTEE BALLOTS (EXECUTED), LIST OF</b> Including military and civilian absentee ballots executed.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	G.S. § 163-232 42 U.S.C. 1973gg et seq.
5.	<b>ABSTRACTS</b> Official records of elections.	a) First original. Retain in office permanently.  b) Second original. Deposit with clerk of superior court. (Note: Destroy 10 years after filing)  c) Third original. Deposit with the State Board of Elections who forwards it to the Secretary of State.	G.S. § 163-182.6 (a)
6.	<b>ABSTRACTS (MUNICIPAL ELECTIONS)</b>	a) Election board conducting the election: Retain one copy in office permanently.  b) Election board conducting the election: Deposit one copy with the State Board of Elections.  c) File one copy with city clerk.	G.S. § 163-300
7.	<b>BALLOT PREPARATION AND APPROVAL RECORDS</b> Includes all documentation generated electronically or otherwise received or created by county boards of	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.	G.S. § 163 Article 13A 42 U.S.C. 1973 gg et seq.

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
	elections concerning the preparation, distribution and financing of ballots.	b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	
8.	<b>BALLOT REPORTS</b> Reports detailing the circumstances surrounding the loss, destruction, damage, or theft of ballots.	Place ballot reports relating to loss and theft of ballots into County Board of Election minutes for permanent retention.	G.S. § 163-182.2 08 NCAC 10B .0105
9.	<b>BALLOTS (USED AND UNUSED)</b> Includes paper ballots, electronic or electromechanical ballots, tabulation cards or tapes, voting machine ballot cards, and all similar ballot materials.	a) Destroy in office 2 months after certification all materials concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all materials concerning a primary, general, or special election involving federal offices.  c) Destroy unused ballots used in federal elections 2 months after the certification of the election.	G.S. § 163 Article 15A G.S. § 163-234(9) 08 NCAC 10B .0106  U.S. Code Title 42, Chapter 20, Subchapter II § 1974  42 U.S.C. 1973gg et seq.
10.	<b>CANDIDATE CHALLENGES</b> Includes notices of challenge, request and notice of hearing, affidavits, and all other related documentation concerning challenges.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. §-163 Article 11B

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>CERTIFICATES OF ELECTION (COPIES)</b>	Retain in office permanently.	G.S. § 163-182.15 G.S. § 163-182.16 G.S. § 163-301
12.	<b>MUNICIPAL ELECTION AGREEMENTS AND RESOLUTIONS</b> Agreements regarding conduct of city elections and financial arrangements, resolutions permitting use of absentee ballots, etc.	Destroy in office when superseded or obsolete.	G.S. § 163-285 G.S. § 163-302
13.	<b>POLL LIST/REGISTRATION LIST/ROSTER/AUTHORIZATION TO VOTE (ATV)</b> Lists documenting registered electors and votes cast. Includes electronic or paper ATV related records such as ATV books, forms, unused stickers, lists, registers, indexes, or similar authorization to vote record. Includes books, computer printouts, or similar record used to verify persons are registered voters at each polling location.	a) Destroy in office all remaining records 2 months after certification records concerning a primary, general, or special election not involving federal offices. b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices. c) Destroy unused ATV stickers used in federal elections 2 months after the certification of the election. d) Contact State Archives prior to destroying old poll books and voter registration books.	G.S. § 163 Article 15A G.S. § 163-166.7 08 NCAC 10B .0103 42 U.S.C. 1973gg et seq.

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
14.	<b>PRECINCT BOUNDARY AND VOTER TABULATION DISTRICTS (VTD's) RECORDS</b> Includes copies of maps drawn to scale with all major observable features, worded description of the geographical boundaries, and all precinct organization correspondence, including e-mail. Also includes polling place change notices.	Destroy in office when superseded or obsolete. Obtain permission from State Board prior to such destruction.	G.S. § 163-128
15.	<b>PRECINCT OFFICIALS APPOINTMENT RECORDS</b> Includes recommendations, qualifications, oaths, and all other related documentation concerning the appointment of board members, director of elections, precinct officials, ballot counters, and observers.	Destroy in office 2 years after expiration of term.	G.S. § 163 Article 5
16.	<b>PRECINCT VOTING MANAGEMENT RECORDS</b> Includes written instructions on how ballots should be marked and counted; unofficial and duplicate precinct returns; receipts for ballots, boxes, and voting equipment; precinct officials' certifications and statements; and all other related documentation.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163 Article 12 42 U.S.C. 1973gg et seq.

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>PROTEST OF ELECTION RECORDS</b> Includes records relating to the way an election was conducted.	a) Destroy in office records concerning protests that are not appealed 60 days after the board's ruling.  b) Destroy in office after 2 years or when challenge is sustained, overruled, or dismissed, whichever occurs later.*	G.S. § 163-182.9 et seq. 08 NCAC Chapter 02
18.	<b>RECOUNT RECORDS</b> Records relating to the request and conduct of a recount of votes cast.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163-182.7 08 NCAC Chapter 09 42 U.S.C. 1973gg et seq.
19.	<b>RETURNS BASED UPON VOTING TABULATION DISTRICT (VTD)</b> Record of votes cast by voters in each VTD regardless of where that voted.	Destroy in office after two years.	G.S. § 163-132.5G
20.	<b>SAMPLE AUDIT COUNTS</b>	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163-182.2

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	STATE BOARD OF ELECTIONS CORRESPONDENCE AND REPORTS	Destroy in office after administrative value ends.*  Local Policy: Destroy in office after <u>10 years (min.)</u> . † Such correspondence/reports created and maintained digitally.	
22.	STATE BOARD OF ELECTIONS NUMBERED MEMOS Includes SEIMS and Administrative records.	Destroy in office when administrative value ends or otherwise authorized by the SBOE.	Issued as needed by the SBOE.
23.	VOTING MACHINE LISTS, TESTING RECORDS AND CERTIFICATIONS Includes inventory lists showing number of machines, storage locations and registration numbers. Includes records of machine testing prior to each election where the machine is used. Certifications relate to the preparation of and sealing of machines.	a) Destroy in office inventories, warranties, and registration data after the voting systems are no longer in use and have been disposed of as authorized by the SBE.  b) Destroy certifications and machine testing related records 5 years after the certification of the election the machine was tested for.  c) Destroy in office remaining records when superseded or obsolete.	

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ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<b>VOTER CHALLENGES</b> Includes notices of challenge, request and notice of hearing, affidavits, and all other related documentation concerning challenges.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. §-163 Article 8

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

**STANDARD-9. PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS**

Records created and received by county boards of elections and used to register voters and maintain voter rolls for local, state, and federal elections.

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AGENCY NATIONAL VOTER REGISTRATION ACT (NVRA): PREFERENCE FORM FROM PUBLIC AGENCIES</b> Forms confirming that a person has declined an offer to register to vote.	Destroy in office after the completion of two list maintenance procedures. Electronic versions of such data in possession of the SBOE shall be the responsibility of the SBOE and not the county.	G.S. § 163-82.14 11 C.F.R. 8
2.	<b>DENIED/INCOMPLETE VOTER REGISTRATION FORMS IN QUE</b>	Destroy in office after two federal elections.	2009-05 SBOE Numbered Memo and Guidelines for Voter Registration

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
3.	<b>LIST MAINTENANCE DOCUMENTS AND RECORDS</b> Includes <ul style="list-style-type: none"> <li>a) Reports from the county board, from the Department of Transportation or a voter registration agency</li> <li>b) A notice of cancellation on a Voter Registration Application/Update Form</li> <li>c) A notice of cancellation received from an election jurisdiction outside the state</li> <li>d) Confirmation mailing sent by the county board <ul style="list-style-type: none"> <li>1. A postage prepaid and preaddressed return card returned as undeliverable by the Postal Service</li> <li>2. Nonforwardable mail sent by the county board to voter and returned by the Postal Service as undeliverable</li> </ul> </li> <li>e) National Change of Address (NCOA) list maintenance records.</li> <li>f) All documents generated by the required biennial list maintenance procedures.</li> </ul>	Destroy in office after the completion of two list maintenance procedures.	G.S. § 163-82.14
4.	<b>LOGBOOKS FOR VOTER REGISTRATION DRIVES</b> Includes logbooks of voter registration forms given out to voter registration drives.	Destroy in office after 1 year.	G.S. § 163-82.14

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>VOTER-REQUESTED CHANGES</b> A Voter Registration Application/Update form, or a voter registration card, or a written statement that is signed with registrant's current information requesting changes of records. a) Change of name and/or address b) Change of party affiliation	Destroy in office 5 years after voter is classified as Removed and contact State Archives prior to destroying.	G.S. § 163-82.14
6.	<b>VOTER REGISTRATION LISTS AND REPORTS</b>	Destroy in office when superseded or obsolete.	G.S. § 163 Article 7A
7.	<b>VOTER REGISTRATION RECORDS</b> Includes all voter registration records (active, inactive, removed). Also includes records regarding voluntary and involuntary cancellations (death, felony convictions, notices from other jurisdictions, voter requests).	a) Destroy in office 5 years after voter is classified as Removed. b) Contact State Archives prior to destroying old voter registration records.	G.S. § 163 Article 7A GS § 163-82.10(a)

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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**North Carolina Department of Cultural Resources  
Division of Historical Resources  
Government Records Branch**

**REQUEST FOR CHANGE IN RECORDS SCHEDULE**

**TO** Assistant Records Administrator  
N.C. Division of Historical Resources  
Government Records Branch  
4615 Mail Service Center  
Raleigh, NC 27699-4615

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

**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	Standard Number _____	Page _____	Item Number _____	
_____	Change an retention period	Standard Number _____	Page _____	Item Number _____	

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

**INCLUSIVE DATES OF RECORDS** \_\_\_\_\_ **VOLUME OF RECORDS IN LINEAR INCHES** \_\_\_\_\_

**DESCRIPTION OF RECORDS**

**PROPOSED RETENTION PERIOD**

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

**North Carolina Department of Cultural Resources  
Division of Historical Resources  
Government Records Branch**

**REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS**

**TO** Assistant Records Administrator  
N.C. Division of Historical Resources  
Government Records Branch  
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 TITLE	DESCRIPTION	INCLUSIVE DATES	QUANTITY	MICROFILMED? (YES OR NO)	RETENTION PERIOD

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

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

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



**North Carolina Department of Cultural Resources  
Division of Historical Resources  
Government Records Branch**

**REQUEST FOR DISPOSAL OF ORIGINAL RECORDS DUPLICATED BY ELECTRONIC MEANS**

**TO** Assistant Records Administrator  
N.C. Division of Historical Resources  
Government Records Branch  
4615 Mail Service Center  
Raleigh, NC 27699-4615

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

Use this form to request approval from the Department of Cultural Resources to dispose of records you have scanned, entered into databases, or otherwise duplicated through digital imaging or other conversion to computer or digital environments. This form does not apply to records which have only been microfilmed or photocopied.

A completed copy of the "Electronic Records Production Control Self-Warranty" form **must** be attached. It can be found in the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*.

RECORDS TITLE	DESCRIPTION	INCLUSIVE DATES	NUMBER OF TAPES OR DISKS	MICROFILMED? (YES OR NO)	RETENTION PERIOD

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

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

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

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**AMENDMENT**  
**COUNTY BOARDS OF ELECTIONS**  
**RECORDS RETENTION AND DISPOSITION SCHEDULE**

**STANDARD-8: Program Operational Records: Election Records**

Amend the records retention and disposition schedule for County Boards of Elections, published April 4, 2012, by amending Item 9, Ballots (used and unused), as shown on substitute page 80. Also, by adding Item 18, Provisional Ballot Applications, Item 19, Provisional Ballot Final Disposition Records, and Item 20, Provisional Voter Poll Book, as shown on substitute pages 83 and 83a.

**STANDARD-9: Program Operational Records: Voter Registration Records**

Amend the records retention and disposition schedule for County Boards of Elections, published April 4, 2012, by amending Item 5, Voter-Requested Changes, and Item 7, Voter Registration Records, as shown on substitute page 88.

**APPROVAL RECOMMENDED**

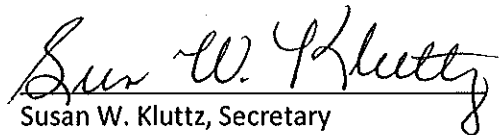


Sarah E. Koonts, Director  
Division of Archives and Records

**APPROVED**



Kim Westbrook Strach, Executive Director  
State Board of Elections



Susan W. Kluttz, Secretary  
Department of Cultural Resources

**ACKNOWLEDGED (AGREED TO COMPLY)**

\_\_\_\_\_  
County Board of Elections, Director

\_\_\_\_\_  
Chairman, County Board of Elections

August 19, 2013

\_\_\_\_\_  
County/Region

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
	elections concerning the preparation, distribution and financing of ballots.	b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	
8.	<b>BALLOT REPORTS</b> Reports detailing the circumstances surrounding the loss, destruction, damage, or theft of ballots.	Place ballot reports relating to loss and theft of ballots into County Board of Election minutes for permanent retention.	G.S. § 163-182.2 08 NCAC 10B .0105
9.	<b>BALLOTS (USED AND UNUSED)</b> Includes paper ballots, electronic or electromechanical ballots, tabulation cards or tapes, voting machine ballot cards, and all similar ballot materials. Includes absentee and provisional ballots.	a) Destroy in office 2 months after certification all materials concerning a primary, general, or special election not involving federal offices. b) Destroy in office 22 months after certification all materials concerning a primary, general, or special election involving federal offices. c) Destroy unused ballots used in federal elections 2 months after the certification of the election.	G.S. § 163 Article 15A G.S. § 163-234(9) 08 NCAC 10B .0106  U.S. Code Title 42, Chapter 20, Subchapter II § 1974  42 U.S.C. 1973gg et seq.
10.	<b>CANDIDATE CHALLENGES</b> Includes notices of challenge, request and notice of hearing, affidavits, and all other related documentation concerning challenges.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices. b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. §-163 Article 11B

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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



ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>PROTEST OF ELECTION RECORDS</b> Includes records relating to the way an election was conducted.	a) Destroy in office records concerning protests that are not appealed 60 days after the board's ruling.  b) Destroy in office after 2 years or when challenge is sustained, overruled, or dismissed, whichever occurs later.*	G.S. § 163-182.9 et seq. 08 NCAC Chapter 02
18.	<b>PROVISIONAL BALLOT APPLICATIONS</b> Applications located on provisional ballot envelopes and submitted with the provisional ballot.	Destroy in office 1 year from date they were received.	G.S. § 163-233
19.	<b>PROVISIONAL BALLOT FINAL DISPOSITION RECORDS</b> Records used to determine the eligibility of provisional ballots during the counting process.	a) Destroy in office 2 years after input into State Board of Elections database disposition information and reasons.  b) Destroy in office working papers after 90 days.	G.S. § 163-182.2(4)
20.	<b>PROVISIONAL VOTER POLL BOOK</b> Lists of voters in each precinct who have executed provisional ballots.	a) Destroy in office 2 months after certification all records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification all records concerning a primary, general, or special election involving federal offices.	42 U.S.C. 1973gg et seq.

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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

ITEM #	STANDARD-8: PROGRAM OPERATIONAL RECORDS: ELECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
21.	<b>RECOUNT RECORDS</b> Records relating to the request and conduct of a recount of votes cast.	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices.  b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163-182.7 08 NCAC Chapter 09 42 U.S.C. 1973gg et seq.
22.	<b>RETURNS BASED UPON VOTING TABULATION DISTRICT (VTD)</b> Record of votes cast by voters in each VTD regardless of where that voted.	Destroy in office after two years.	G.S. § 163-132.5G
23.	<b>SAMPLE AUDIT COUNTS</b>	a) Destroy in office 2 months after certification records concerning a primary, general, or special election not involving federal offices. b) Destroy in office 22 months after certification records concerning a primary, general, or special election involving federal offices.	G.S. § 163-182.2

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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

ITEM #	STANDARD-9: PROGRAM OPERATIONAL RECORDS: VOTER REGISTRATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>VOTER-REQUESTED CHANGES</b> A Voter Registration Application/Update form, or a voter registration card, or a written statement that is signed with registrant's current information requesting changes of records, including changes involving provisional ballots. a) Change of name and/or address b) Change of party affiliation	Destroy in office after 2 years.  <i>Retention note: Official copy of voter registration records is the State voter registration system maintained by the State Board of Elections.</i>	G.S. § 163-82.14 G.S. § 163-82.15 G.S. § 163-82.10(a)
6.	<b>VOTER REGISTRATION LISTS AND REPORTS</b>	Destroy in office when superseded or obsolete.	G.S. § 163 Article 7A
7.	<b>VOTER REGISTRATION RECORDS</b> Includes all voter registration records (active, inactive, provisional, removed). Also includes records regarding voluntary and involuntary cancellations (death, felony convictions, notices from other jurisdictions, voter requests).	Destroy in office after 2 years.  <i>Retention note: Official copy of voter registration records is the State voter registration system maintained by the State Board of Elections.</i>	G.S. § 163-82.10(a)

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see Litigation Case File, STANDARD-1. ADMINISTRATION AND MANAGEMENT RECORDS, item 33, page 9.*

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

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY VETERANS SERVICES



Issued By:

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

November 1, 2004

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**County Veterans Services  
Records Retention Schedule**

The records retention and disposition schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provision of Chapter 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. 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**

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County Veterans Services Officer

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David Brook, Director  
Division of Historical Resources

**APPROVED**

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Chairman, Bd. County Commissioners

---

Lisbeth C. Evans, Secretary  
Department of Cultural Resources

November 1, 2004

## ABOUT THIS PUBLIC RECORDS SCHEDULE

This records schedule identifies and provides retention and disposition instructions for many records that are produced and maintained by County Veterans Services offices. These records are defined under Chapter 132 of the *General Statutes of North Carolina* as “public records.” Chapter 121-5 mandates that these public records may be disposed of only in accordance with an official records retention schedule. Such schedules are written by the North Carolina Department of Cultural Resources in cooperation with the agency or governing body and include the official approval of these bodies, as required by law, for records disposition actions.

**INTERNET ACCESS TO PUBLIC RECORDS INFORMATION.** The Government Records Branch offers valuable information on the Internet at its Web site, which may be accessed at the following address:

<http://www.ah.dcr.state.nc.us/sections/archives/rec/default.htm>

Local government agencies are encouraged to reference the site and its links to other data. The Web site offers much of the introductory information and many of the forms contained in this schedule, the full texts of G.S. §121 and §132, and contact information for the Government Records Branch.

**WHAT THE SCHEDULE IS.** This schedule contains a listing and brief description of the records maintained by county veterans services offices and identifies the minimum period of time each record series shall be retained. Copies of this schedule can be obtained either by contacting the Government Records Branch or from our Web site listed above. Records normally should be disposed of at the end of the stated retention period. In effect, the schedule provides a comprehensive records disposition plan which, when followed, ensures compliance with G.S. §121 and §132. All provisions of this schedule remain in effect until the schedule is officially amended or superseded. Errors and omissions do not invalidate this schedule as a whole or render it obsolete. As long as the schedule remains in effect, destruction or disposal of records in accordance with its provisions shall be deemed to meet the provisions of G.S. §121-5(b) and be evidence of compliance of state law. **In the event that a legal requirement, statute, local ordinance, or federal program requires that a record be kept longer than specified in this schedule, the longer retention period shall be applied. All questions concerning the legal requirements for retaining a record should be referred to the governing board's legal counsel or State Attorney General's Office.**

**PUBLIC RECORDS DEFINED.** G.S. §132-1 states:

“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 or 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.

**NOT ALL PUBLIC RECORDS ARE OPEN TO THE PUBLIC.** Public records belong to the people. However, not all official public records are open to the public. Many records are protected from general access or casual reference by federal or state laws, or by legal precedent and can be seen only by court order. Therefore, even though G.S. §132-6 and §132-9 provide for public access to most records, certain records should be considered confidential in order to protect the privacy rights of agency personnel and the public. It is the responsibility of each records custodian to be familiar with G.S. §153A-98, agency policy, and all other pertinent state and federal legislation and regulations in order to ensure the proper protection of restricted information. If in doubt, consult the Division of Historical Resources or your board's attorney.

**NOT ALL OFFICIAL RECORDS ARE PUBLIC RECORDS.**

Certain provisions in the General Statutes remove specific records from the category of “public records” as defined by G.S. §132-1. It is important to note that the only records which are not public records, are those individually described in law. Certain records series on this records retention and disposition schedule are excluded from the definition of

public records, and are marked as exceptions in the “Citation” column. For these series, the disposition instructions are only recommendations, and are not binding.

Unless otherwise specified, official records which are not public records are also exempt from the public inspection requirements outlined by G.S. §132-6.

**ELECTRONIC RECORDS.** Electronic records are becoming an increasingly important part of government work. Word processing on desktop computers means that most office workers are directly responsible for the creation, distribution, and filing of records. Database management systems are used to streamline services. Electronic mail and the World Wide Web are used to keep communication and publishing costs down.

G.S. §132-1(a) defines “ ‘Public record’ or ‘public records’ shall mean all . . . documentary material, *regardless of physical form or characteristics.*” Electronic records are subject to the same public access, personal privacy, audit, and authenticity requirements as the paper records that preceded them. Custodians are still responsible for the accuracy, completeness, authenticity, security, retention, and preservation of their records. The Division has published the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems*, which discusses these issues at greater length. Copies can be obtained from our Web site.

**ELECTRONIC MAIL.** E-mail systems create records that must be identified, categorized, and appraised for specific values. Under North Carolina’s Public Records Act (chapter 132 of the General Statutes of North Carolina), the e-mail content is subject to the same access and inspection conditions as other records, unless exempted from access by another statute. Privacy considerations, records retention scheduling requirements, and other laws and regulations also apply to e-mail content.

Agencies and local governments retain e-mail messages to satisfy agency needs, record-keeping requirements and to comply with the law. Retention and record-keeping responsibilities often are delegated to individual users (senders/receivers). Government employees face this challenge of managing e-mail, particularly those who make it an important part of their work. The Division has published *E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition*, which is available from our Web site.

**INDEXING ELECTRONIC RECORDS.** G.S. §132-6 requires that all public databases be indexed. To assist local government agencies in this process, the division has published *Public Database Indexing Guidelines and Recommendations*. Copies can be obtained from our Web site.

**CHANGING THE SCHEDULE.** You may request an addition, deletion, or change in a retention period by completing and sending a “Request for Change in Records Schedule” (see page 36) to the Division of Historical Resources. See the instructions on the form for more information.

**EARLY DISPOSAL OR DISPOSAL OF UNSCHEDULED RECORDS.** Custodians desiring to dispose of records earlier than specified in this schedule, or to dispose of records not listed in the schedule, may use the form “Request and Approval of Unscheduled Records Disposal” (see page 37) to obtain the concurrence of the Department of Cultural Resources. Permission must also be obtained from the agencies governing board, and recorded in its minutes.

**HISTORICAL VALUE.** Before preparing to dispose of certain records, their potential historical research value should be considered. Selected records might have enduring value because they document the origin, organization, development and functions of an agency. Likewise, some records have enduring value as sources of information on persons, places, subjects, events and transactions. These records provide evidence of the interactions between citizens and local government agencies. Several record series which may have such value are identified in this schedule and assistance in determining historical or archival value is available upon request.

**PERMANENT RECORDS.** Records scheduled for permanent preservation, even after being microfilmed, may not be destroyed without specific written permission of the Department of Cultural Resources.

**PROTECTING PUBLIC RECORDS.** Public records are public property. They should remain in the care of the governmental agency in which they were created or collected in the course of public business. Public records should be disposed of only when, and as specified, in this records schedule.



**ASSISTANCE WITH INTERPRETATION AND APPLICATION OF THE PROVISIONS OF THIS SCHEDULE.** The Government Records Branch provides a variety of records management services to local government agencies, including the interpretation and use of this retention and disposition schedule. Records analysts are available to assist by telephone and e-mail. Analysts make site visits to local government offices, as requested.

The Raleigh office can be reached at (919) 814-6900, or at [records@ncdcr.gov](mailto:records@ncdcr.gov) .  
The Western Office, located in Asheville, can be reached at (828) 274-6789.

## DESTRUCTION OF PUBLIC RECORDS

1. **AUTHORIZED PROCEDURES.** North Carolina General Statutes §121-5(b) and §132-3(a) prohibit the destruction of public records in any format without the prior authorization of the Department of Cultural Resources. One of the following procedures shall be followed prior to the destruction of public records.
  - a) Records listed in this schedule, or added later by amendment, may be destroyed after the specified retention periods without further approval of the Department of Cultural Resources or the governing body, provided the following conditions are met:
    - (1) The Director, Division of Historical Resources, and Secretary, Department of Cultural Resources, have certified that such records in the retention and disposition schedule have no further use or value for research or reference by signing the agreement of this schedule.
    - (2) The agency's governing body has authorized the records listed herein for destruction to be destroyed by blanket approval of this retention and disposition schedule.
    - (3) The Chairman of the Board of County Commissioners has indicated the governing body's approval by signing the same agreement of this schedule.
    - (4) The agency's governing body has entered this approval along with a copy of the schedule in the governing board minutes, or as an attachment to the minutes.
  - b) One-time destruction of an accumulation of an unscheduled or a discontinued record series should be referred to the Department of Cultural Resources and the governing body for authorization.

This records retention and disposition schedule may be altered to permit the further destruction of unscheduled records only after consultation with the Government Records Branch.

2. **DESTRUCTION OF ORIGINAL RECORDS THAT HAVE BEEN DUPLICATED.** Under certain conditions, duplicates of records may be used in place of the originals. Duplicates include (but are not limited to): microfilm of paper or electronic records, scanned paper records, and printouts of electronic records.

For the original records to qualify for potential destruction, the corresponding duplicates must be created in the normal course of business and must be retained for the full period of time listed in the disposition instructions.

Records scheduled as permanent may be duplicated. The original records, however, may not be destroyed without prior consent of the Department of Cultural Resources. This records schedule does not constitute such consent.

Unlike a xerographic reproduction of paper records, a printout of an electronic record may lose valuable information describing its content, context, and structure. This metadata is a key element of an electronic record. Therefore, records custodians are cautioned not to assume that a printout contains all of the information the original electronic record does.

Records duplicated through digital imaging or other conversion to computer or digital environments must be supported by convincing, documented evidence that the electronic records were created, reproduced, and otherwise managed in accordance with systems and procedures designed to ensure the reliability, accuracy, and security of both the records and the process or system used to produce the records. Provisions must also be made to ensure the records' accessibility throughout their retention period, including any required migration, recopying, or conversion. Prior to destroying scanned paper records, correspondence using the form "Request for Disposal of Original Records Duplicated by Electronic Means" (see page 38) should be submitted to the Government Records Branch. Upon receiving authorization paper records scanned into digital environments may be destroyed.

To assist local government agencies, the Division of Historical Resources has published guidelines for establishing methods and procedures in the duplication of original records. Copies of *Micrographics: Technical and Legal Procedures* and the *North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems* can be obtained from our Web site.

3. **DESTRUCTION OF ELECTRONIC RECORDS.** Careful attention must be paid to the destruction of electronic records. When computers are disposed of, hard drives must be carefully and thoroughly erased or destroyed. Tapes, disks, and other recording media should be physically destroyed. Simple erasure or destruction of a disk's index file is insufficient to destroy the actual data recorded on the disk.

High-capacity storage media, such as CD-ROMs or optical media, may contain records of differing retention requirements. It is important that those records that must be retained for longer periods continue to be accessible.

There are two options:

- a) Recopy the longer-retention records onto a separate tape or disk and destroy the original.
  - b) Retain the entire tape or disk as long as required for the longest-term record.
4. **METHODS OF DESTRUCTION.** Local government records provide documentation of the actions and processes of government at its most direct level. These records should remain in the custody and control of the agency that created them or received them pursuant to law until such time as they are eligible for disposition. When authorized by an approved records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance.
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
  - d) buried under such conditions that the record nature of the documents or materials will be terminated
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records

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

Confidential records should be destroyed in a secure manner.

5. **DISPOSITION OF RECORDS NOT AUTHORIZED FOR DESTRUCTION BY THIS SCHEDULE.** Custodians with records not authorized for destruction or other disposition by this schedule may discard these records by following one of the procedures listed below:

- a) Submit correspondence using the form "Request and Approval of Unscheduled Records Disposal" (see page 46) to the Government Records Branch.
- b) Custodians with records no longer in current use that are identified as permanent and not authorized for destruction by this schedule, or with paper records that have been microfilmed, are authorized and empowered to turn over such records to the Department of Cultural Resources. The Department of Cultural Resources is authorized, at its discretion, to accept custody of those records, providing it has adequate space and staff in the State Archives. A written offer of the records should be made to the Assistant State Records Administrator, Government Records Branch, 4615 Mail Service Center, Raleigh, North Carolina 27699-4615.

## DISASTER ASSISTANCE IS AVAILABLE

Throughout our state's history, county and municipal records have been vulnerable to man-made and natural disasters. Even with modern facilities and improved security and protective measures, public records are still susceptible to fire and water damage, and several disasters involving public records have occurred in this state during recent years. One of the most common forms of disaster has been a fire (usually at night or during a weekend). In those instances, valuable and often irreplaceable records that escaped the flames were ruined by water and mud resulting from fire fighting. In most cases, records that were irreparably damaged might have been saved if state and local officials had known what to do with damaged records and acted promptly.

In order to help state, county, and municipal agencies cope with fires, floods, and other disasters involving records, the North Carolina Division of Historical Resources has formed a Disaster Response Team. Upon request, members of this team will advise local officials on the retrieval of damaged records. When possible, they will also provide further assistance upon request.

**WHAT SHOULD YOU DO WHEN A DISASTER OCCURS?** The first and most important step to take is to secure the area containing the damaged records as soon as possible. Until fire fighters or other safety personnel confirm the safety of the area, no one should enter the facility. Then notify the Division of Historical Resources at (919) 814-6900 immediately. [During nights or weekends, call your local emergency management office.] In the case of water-damaged records, the first step is to ventilate the area as much as possible to minimize the growth of mold and facilitate later records-salvage efforts.

Finally, and most important—**NO ONE SHOULD REMOVE OR ATTEMPT TO CLEAN RECORDS.** Damaged records are fragile, and attempts to move or clean them may cause unnecessary destruction. Only trained personnel should direct the recovery of the damaged records.

Information about disaster response is available on the Division of Historical Resources' Internet Web site at:  
<http://www.ah.dcr.state.nc.us>

## RECORDS MANAGEMENT WORKSHOPS

Staff training helps to make a good agency records management program better. The records management workshops listed below are available to all governmental agencies and can be presented at your office. They are also available at periodic intervals in the State Records Center building in Raleigh.

An agency outside the Raleigh area may request that a workshop be held on its premises by contacting the Government Records Branch. These workshops can be offered in combination, or otherwise tailored to specific issues or needs in your office. Although fifteen is an optimal number of participants for workshops, they are provided for any interested agency personnel.

**SCANNING AND MICROFILMING PUBLIC RECORDS.** This workshop covers scanning and microfilming fundamentals. We provide a series of steps to use in planning a scanning project, discuss resource allocation issues, and describe potential pitfalls in the process. A basic review of records management and public records law is provided.

The workshop presents principles for both microfilming and scanning, state technical standards and procedures to ensure the legal admissibility of microforms and scanned records, and systems and equipment. Also included are the advantages and limitations of the two processes; quality control procedures; suggested specifications for vendor services; state technical standards for in-house operations or vendor services; and choosing and implementing a scanning, microfilming, or hybrid system.

State, county, and municipal government agencies with existing in-house systems, staff who perform or supervise source document microfilming or scanning, and those interested in developing or maintaining micrographic or scanning systems would benefit from this training course.

This is normally a full-day workshop, but it can be shortened for presentation outside of our classroom.

**MANAGING PUBLIC RECORDS.** Management methods and procedures for controlling active and inactive records in state, county, and municipal government offices through the use of records retention and disposition schedules are presented in the workshop. Included in the training session are pertinent laws, protecting essential records, determining historical and other record values, disposition procedures, and the relationship of disposition to other records management activities.

**FILES AND FILING.** Step-by-step procedures for organizing and maintaining subject files in an efficient, easy-to-use system are presented in this workshop. The workshop includes: ordering and using the correct supplies; organizing files by their function; color coding files to increase retrieval speed and reduce misfiles; a single-point reference system with everything about a particular case, subject, person, or location in one folder (case filing); eliminating "General" and "Miscellaneous" files; and creating a filing system through which anyone can locate a folder.

**MANAGING ELECTRONIC PUBLIC RECORDS.** Electronic files in state, county, and municipal agencies include records stored in desktop computers, network servers, and computer "archives." The workshop covers public access to electronic files; legal acceptance of electronic records; managing, storing, and retrieving electronic records; electronic mail; security of electronic files; and system backups.

## MICROFILM

**ADVANTAGES.** Microfilm is an economical and practical means of preserving a security copy of essential records, and it can be used by government agencies to eliminate the problem of excess paper.

**LEGAL AUTHORITY AND ACCEPTANCE.** Legal authority for microfilming county records is contained in G.S. §153A-436. This statute provides that the method of reproduction must give legible and permanent copies and that the reproduction of the public records must be kept in a fire-resistant file, vault, or similar container.

G.S. §8-45 and §153A-436 provide that microfilm copies of public records shall be admissible as evidence in any judicial or administrative proceeding.

To ensure uniformity and legal acceptability in microfilmed records, certain forms, targets, and procedures should be used when microfilming public records. The Division of Historical Resources has published *Micrographics: Technical and Legal Procedures* to aid state, county, and municipal agencies in producing good-quality microfilm that meets all legal requirements.

**TECHNICAL STANDARDS.** Specific technical standards are required to assure quality microforms that are readily reproducible and, where necessary, capable of permanent preservation. There are four basic groups of standards that establish criteria for microfilm to be of archival or permanent quality: standards for the manufacture of raw film, standards affecting the method of filming in order to produce good overall results, standards involved in processing (developing) microfilm, and standards for the storage of processed microfilm. Those standards are listed and explained in the Division of Historical Resources's publication *Micrographics: Technical and Legal Procedures*. The standards were compiled from national associations such as the American National Standards Institute (ANSI) and the Association for Information and Image Management (AIIM).

**SCANNING RECORDS.** For guidance on implementing or maintaining a scanning system, contact the Government Records Branch.

**MICROFILMING SERVICES AVAILABLE.** The Division of Historical Resources offers microfilming of minutes and other selected permanent records. An appointment to microfilm the records is necessary and may be made by calling (919) 814-6900. The silver original reel is stored for security in the State Archives' environmentally controlled vault. Duplicate reels may be obtained from the Government Records Branch for a small fee.

Micrographic feasibility studies are provided, on request, to help agencies determine the most cost-effective micrographic system to meet their needs. Evaluations of existing micrographic applications are performed to ensure that microfilm meets state technical standards and is of archival quality.

Agencies microfilming their own *permanent* records should send the silver (camera) film to the Division of Historical Resources for storage in the vault. Duplicate film can be used in the office as the working copy.

## **PUBLIC RECORDS WITH SHORT-TERM VALUE**

### *GUIDELINES FOR THEIR RETENTION AND DISPOSITION*

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 guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material
- routing slips or other records that transmit attachments
- reservations and confirmations
- personal messages (including electronic mail) not related to official business
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its “Request and Approval of Unscheduled Records Disposal” (see page 37). Such offices should contact the Government Records Branch of the Division of Historical Resources for assistance in creating a schedule.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the public records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.



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-5. PROGRAM OPERATIONAL RECORDS.** Records received and created by county veterans services offices necessary to meet all statutory requirements.

Comply with applicable provisions of CFR Title 38 Pensions, Bonuses, and Veterans' Relief and G.S. § 165-11.1 regarding access, security and confidentiality of records.

<i>ITEM #</i>	<i>STANDARD-1: PROGRAM OPERATION RECORDS</i>		
	<i>RECORD SERIES TITLE</i>	<i>DISPOSITION INSTRUCTIONS</i>	<i>CITATION</i>
1.	<b>BENEFITS APPLICATION AND ELIGIBILITY RECORDS</b> Copies of completed benefit forms and related records documenting veterans and their dependents, heirs and beneficiary's eligibility and application to receive general, readjustment and related benefits.	Destroy in office 5 years after resolution or when the veteran and any other claimants are deceased, whichever occurs first.	
2.	<b>BENEFITS DELIVERY NETWORK</b> Also know as TARGET or VA BDN, this claims database is maintained by the U.S. Department of Veterans Affairs and is used for inquiry purposes only.	Destroy printouts generated from the database when obsolete, superseded or administrative value ends.	
3.	<b>BENEFITS INFORMATIONAL AND PROMOTIONAL RECORDS</b> Includes instructions, handbooks, manuals, booklets, pamphlets, Federal Register excerpts, regulations, and copies of legislation used to inform veterans and their families about the existence or availability of benefits.	Destroy when obsolete, superseded or administrative value ends, whichever occurs first.	

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 17.*

4.	<b>CASE MANAGEMENT RECORDS</b> Records documenting activities and services performed for veterans and their dependents, heirs and beneficiaries. Includes interview worksheets, biographical and service information, fact sheets, copies of marriage, birth, and death certificates, correspondence, income and residence verification, witness statements, appeals, and similar records documenting all communications and assistance rendered.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	
5.	<b>CONTACT AND INQUIRY RECORDS</b> Records used to assign, track and retrieve information for claimants seeking veterans' benefits. Includes index cards, electronic databases, and informational records documenting veteran's name and actions performed.	Destroy when obsolete, superseded or administrative value ends, whichever occurs first.	
6.	<b>GRAVE REGISTRATION RECORDS</b> Includes index or similar record of all veterans buried in the county. May include name, serial number and branch of service, and burial location.	Retain in office permanently.	
7.	<b>HEALTH AND MEDICAL RECORDS</b> Copies of private, state, and federal government medical and mental health records pertaining to a veteran or other claimant. Includes military service medical records generated during active duty.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	Comply with applicable provision of G.S. 132.6 regarding the confidentiality of medical records.
8.	<b>HOME LOAN RECORDS</b> Includes copies of completed benefit forms and similar records documenting eligibility and application to receive benefits.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	
9.	<b>LIFE INSURANCE RECORDS</b> Includes copies of completed benefit forms and similar records documenting eligibility and application to receive benefits.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 17.*

10.	<b>MILITARY SERVICE AND DISCHARGE RECORDS</b> Copies of reports of discharge, separation papers, certificates of lost discharge (DD-214, dd-215, etc.) and service records (201 file) officially issued by a branch of the armed forces.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	
11.	<b>SERVICE ORGANIZATION RECORDS</b> Copies of applications and eligibility records submitted to a veteran's service organization such as the VFW, DAV, or American Legion.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	
12.	<b>SURVIVOR AND DEPENDENT RECORDS</b> Includes copies of completed benefit forms and similar records documenting eligibility and application to receive benefits.	Destroy in office when administrative value ends or when the veteran and any other claimants are deceased, whichever occurs first.	

*\*Records may be disposed of following minimum retention period only if released from audits or other official action (excluding litigation). If applicable, see LITIGATION CASE RECORDS item 11, page 17.*

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**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**

- |   |                       |            |                   |
|---|-----------------------|------------|-------------------|
| <input type="checkbox"/> Add a new item             | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Delete an existing item    | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Change an retention period | 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

## REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**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 \_\_\_\_\_

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

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

Approved by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature (Requestor's supervisor) Date

Concurred by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date



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

*If you have questions, call (919) 814-6900 and ask for the Records Management Analyst assigned to your agency.*

This form is used to request approval from the Department of 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>		

Record Series Title A group of records as listed in records retention schedule	Description of Records Specific records as referred to in-office	Inclusive Dates (1987-1989; 2005-present)	Approx. Volume of Records (e.g. "1 file cabinet," "5 boxes")	Retention Period 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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# RECORDS RETENTION AND DISPOSITION SCHEDULE

## COUNTY MANAGEMENT



Issued By:



NORTH CAROLINA  
DEPARTMENT OF  
**CULTURAL  
RESOURCES**  
[WWW.NCCULTURE.COM](http://WWW.NCCULTURE.COM)

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

April 15, 2013

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## County Management 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 provision 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.***

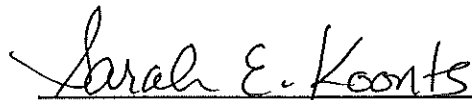
This local government agency and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow these records to be destroyed when "*administrative value ends.*" The local government agency hereby agrees that it will establish and enforce internal policies setting minimum retention periods for the records that Cultural Resources has scheduled with the disposition instruction "*destroy when administrative value ends.*" If a county does not establish internal policies and retention periods, the county is not complying with the provisions of this retention schedule and is not authorized by the Department of Cultural Resources to destroy the records with the disposition instruction "*destroy when administrative value ends.*"

The local government agency and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require 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 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.

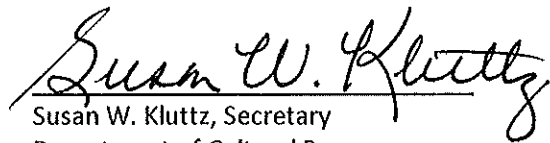
### APPROVAL RECOMMENDED

\_\_\_\_\_  
Chief Administrative Officer/  
County Manager

  
Sarah E. Koonts, Director  
Division of Archives and Records

### APPROVED

\_\_\_\_\_  
Chairman, Bd. County Commissioners

  
Susan W. Kluttz, Secretary  
Department of Cultural Resources

County: \_\_\_\_\_

April 15, 2013

## EXECUTIVE SUMMARY

- ✓ According to G.S. §121-5 and G.S. §132-3, you may only destroy public records with the consent of the Department of Cultural Resources (DCR). The State Archives of North Carolina is the division of DCR 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 county 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 which will indicate how long that series must be kept in your offices. In some cases, the disposition instructions are simply "Retain in office permanently," which means that those records must be kept in your offices forever. In other cases, the retention period may be "destroy in office when administrative value ends." Administrative value is defined as, "the usefulness of records to support ancillary operations and the routine management of an organization." 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 administrative value ends."
- ✓ Email is a record as defined by G.S. §121-5 and G.S. §132. It is the content of the email that is critical when determining the retention period of a particular email, including attachments, not the media in which the records were created. Email should be retained in the same manner as its paper counterpart. It is important for all agency employees and officials to determine the appropriate records series for specific emails and retain them according to the disposition instructions.
- ✓ The State Archives of North Carolina recommends that all county employees and officials take our online tutorials 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, email management, and scanning guidelines.
- ✓ The State Archives of North Carolina provides microfilming of the minutes of major decision-making boards and commissions in a county. 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

---

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

- A.** This document is a tool for the employees of county governments across the state to use when managing the records in their offices. It lists records commonly found in county offices, and gives an assessment of their value by indicating when (and if) those records should be destroyed. This schedule is also an agreement between your county and the State Archives of North Carolina.

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

---

**Q. *How do I get it approved?***

- A.** This schedule must be approved by the County Board of Commissioners for use in your county. 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.

---

**Q. *Do I have 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 the definition of “administrative value”?***

- A.** Administrative value is defined as, “the usefulness of records to support ancillary operations and the routine management of an organization.” Records having administrative value are generally considered useful or relevant to the activities that caused the record to be created and/or during an audit of those activities. Traditionally, records managers have seen “administrative value” as transitory. (From Richard Pearce-Moses, *A Glossary of Archival and Records Terminology*)

---

**Q. *What do I do with routing slips, fax cover sheets, reference copies, memory aids, reservations and confirmations, etc.?***

- A.** 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 guidance from the State Archives of North Carolina. The State Archives of North Carolina recognizes that many records exist that may have very short-term value to the creating agency. These records may be destroyed or otherwise disposed of when their reference value ends. However, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the Public Records law (G.S. §132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

---

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

- A.** Standards are grouped together to make it easier for users to find records. You may find that the records groupings reflect the organizational structure of your county, 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 county.

---

**Q. *I can’t 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 box” function on the PDF version of the schedule. If you still cannot locate your records on the schedule, then contact the Records Management Analyst assigned

to your county. We will work with you to amend this records schedule so that you may destroy records appropriately.

---

**Q. *What are public records?***

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

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

---

**Q. *Can anyone see my records?***

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

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

---

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

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

---

**Q. *Do I have to make copies of drafts available to the public that haven't been approved?***

- A.** Yes, even if a report, permit, or other record has not been finalized. Any record that is not confidential by law must be copied when a request is received, whether it is "finished" or not.

---

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

- A.** Permanent records should be maintained in the office that created the records, forever. They must also have a preservation duplicate, which is either a paper or microfilm copy.

---

**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 the Records Management Analyst assigned to your county for further assistance.

---

**Q. *I don't have any records.***

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



---

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

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

---

**Q. *Our old records are stored in the attic, basement or off-site building, etc. Do we have to let anyone who asks see them?***

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

---

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

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

---

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

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

---

**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 the Records Management Analyst assigned to your county. Permanent records must be kept either in your offices or at the State Archives of North Carolina.

---

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

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

## AUDITS, LITIGATION AND OTHER OFFICIAL ACTION

---

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

We have used an asterisk (\*) in the disposition instructions to mark records series that are commonly audited, litigated or maybe 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](#) Item 7, page 2 and [AUDITS: FINANCIAL](#) Item 6, page 22.) Should a dispute arise over an audit, the records that were audited should be retained until that dispute is resolved.

The attorney representing the county 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.

Per 26 CFR 1.148-5(d)(6)(iii)(E), retain all documents related to a financing, including those related to construction or purchase of the financed asset, for the life of the debt plus 3 years.

## DESTRUCTION OF PUBLIC RECORDS

---

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

- A.** Each records series listed on this schedule has specific disposition instructions that indicate how long that series must be kept in your offices. In some cases, the disposition instructions are “Retain in office permanently,” which means that those records must be kept in your offices forever. (See also the question above, “*What should I do with permanent records?*”)

---

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

- A.** After your county has approved this records retention and disposition schedule, records should be destroyed in one of the following ways:
- a) burned, unless prohibited by local ordinance;
  - b) shredded, or torn up so as to destroy the record content of the documents or material concerned;
  - c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;
  - d) buried under such conditions that the record nature of the documents or materials will be terminated;
  - e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.
- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

**Confidential records should be destroyed in a secure manner so that the information contained in them cannot be used. We do not recommend the disposal in a landfill of records containing confidential information.**

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

- A.** Contact the Records Management Analyst assigned to your county. Your 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](#) (located at the end of this schedule) if the records are not currently created. If the records are an active records series, your analyst will help you develop an amendment to this schedule so that you can continue to destroy the records appropriately.

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### ***Q. Do I have to tell anyone about the destruction?***

- A.** We recommend that you report on your records retention activities to your Board of Commissioners 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: EMAIL, BORN DIGITAL RECORDS, AND DIGITAL IMAGING

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**Q. *When can I delete my email?***

- A.** Email is a public record as defined by G.S. §121-5 and G.S. §132. Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. **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 email 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 email simply because storage limits have been reached.** Some examples of email 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 will be particularly helpful in managing your email (available online at the State Archives of North Carolina website):

- *E-Mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition*
- *Online E-mail Tutorial: Managing Your Inbox: E-mail as a Public Record*
- *Online Tutorial: Managing Public Records for Local Government Agencies*
- *Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail*

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**Q. *May I print my email to file it?***

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

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**Q. *I use my personal email account for work. No one can see my personal email.***

- A.** The best practice is to avoid using personal resources, including private email 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 email account is irrelevant.

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**Q. *We have an imaging system. Do we have to keep the paper?***

- A.** You may scan any record, including permanent records. You will need to receive approval from the Government Records Section in order to destroy paper originals that have been digitized. Your office should follow our guidelines, available on the State Archives of North Carolina website. Contact the Records Management Analyst assigned to your county 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 have to take precautions with 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 will have to 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. I'll just keep my computer records.***

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

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

- A.** The following documents are available on the State Archives of North Carolina website:
- Best Practices for Cloud Computing: Records Management Considerations
  - Best Practices for Electronic Communication Usage in North Carolina: Text and Instant Message
  - Best Practices for Electronic Communication Usage in North Carolina: Guidelines for Implementing a Strategy for Text and Instant Messages
  - Best Practices for File Naming
  - Best Practices for Social Media Usage in North Carolina
  - Guidelines for Digital Imaging Systems
  - Metadata as a Public Record in North Carolina: Best Practices Guidelines for Its Retention and Disposition
  - Security Backup Files as Public Records in North Carolina: Guidelines for Recycling, Destruction, Erasure, and Re-Use of Security Backup Files

## **GEOSPATIAL RECORDS**

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**Q. *Why should 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.

Consult [STANDARD-7: GEOGRAPHIC INFORMATION SYSTEMS \(GIS\) RECORDS](#) for additional records series.

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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 and 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. 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.

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

- A.** The Department of Cultural Resources provides microfilming of minutes of major decision-making boards and commissions in a county. We will also film records of adoptions for your Social Services agency. Once those records are filmed, we will store the silver original in our security vault. There is a nominal fee for filming and duplicate film. Contact the Records Management Analyst assigned to your county for the most current information.

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### **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 the analyst assigned to your county.

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 the analyst assigned to your county 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.

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

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

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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 minutes microfilming for more information.

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### **Q. *I have some old minutes that aren't 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 the Records Management Analyst assigned to your county, 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**

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**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 is trained in preliminary recovery techniques, documenting damage to your records, and authorizing destruction of damaged records. Professional vendors can handle your 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 make a visit to you at the earliest opportunity 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.

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

- A.** We provide training to interested governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the Records Management Analyst assigned to your county.

## **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 your 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** – our basic introduction to the Public Records law and records management;
  - **Scanning Public Records: Laying the Groundwork** – considerations and procedures to establish an imaging system;
  - **Email as a Public Record** – considerations, tips and tricks on managing, filing, and public access to your email;
  - **Disaster Preparedness and Recovery** – how to be prepared for disasters, and what will have to be done after a disaster happens.



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

- A.** Yes, we will. Let the Records Management Analyst assigned to your county know what type of training you need.

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**Q. *Do we have to come to Raleigh for workshops?***

- 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.

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

- A.** Not at this time.

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**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 for Local Agencies:** Our basic introduction to the Public Records law and records management.
  - **Managing Your Inbox: Email as a Public Record:** Public employees increasingly rely on electronic mail (email) as a quick and useful communication tool for carrying out government business. However, email presents many challenges. This tutorial will help you learn how to properly manage, retain and dispose of your email.
  - **Managing Electronic Public Records: Recognizing Perils and Avoiding Pitfalls:** More and more government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this tutorial you will learn some of the problems associated with electronic records and you will receive advice on how to protect those records.



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-2. AIRPORT AUTHORITY RECORDS**

Official records and materials created and accumulated incidental to the operation of a county airport.

ITEM #	STANDARD-2: AIRPORT AUTHORITY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AIR SPACE CONSTRUCTION FILES</b> Applications to construct structures which may obstruct flight space. May include correspondence, including email, and related records.	Destroy in office after 5 years.	
2.	<b>AIRFIELD INSPECTION FILES</b> Records concerning airfield inspections on runway conditions, fire and rescue facilities, ground vehicle control, and other airport condition information.	Destroy in office after 1 year.	14 CFR 139.301
3.	<b>AIRPORT CERTIFICATION MANUAL</b> Manual containing a description of operating procedures, facilities and equipment, responsibility assignments, and any other information needed by personnel concerned with operating the airport.	a) Retain records with historical value permanently. b) Destroy in office remaining records when superseded or obsolete.	14 CFR 139.201
4.	<b>AIRPORT COMMISSION MINUTES</b>  See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming minutes.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	
5.	<b>AIRPORT MASTER RECORD FILES</b> Federal Aviation Administration (FAA) form 5010 documenting basic information concerning airports	Destroy in office when superseded.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-2: AIRPORT AUTHORITY RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>COMMUNICATIONS RECORDINGS</b> Audio recordings of radio and telephone communications and complaint calls.	Destroy in office after 30 days if not made part of a case file. *	
7.	<b>LAND DEVELOPMENT AND PLANNING STUDIES AND REPORTS</b> Records documenting local government and airport authority land use and development planning.	Retain in office permanently.	
8.	<b>RADIO LOGS</b> Records of radio calls received and placed.	Destroy in office after 1 year.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

**STANDARD-3. ANIMAL CONTROL AND SHELTER RECORDS**

Records and materials created and accumulated during the conduct of county animal control and shelter programs.

ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACTIVITY REPORTS (ANIMAL CONTROL)</b> Daily, weekly, and monthly reports to the County Health Department, Department of Health Services, etc., providing statistics regarding complaints answered, dogs and cats impounded, impounded animals disposed of, vaccinations, and animal bites reported.  See also <a href="#">REPORTS AND STUDIES (INTERNAL ADMINISTRATION)</a> item 53, page 12.	Destroy in office after 1 year.	
2.	<b>ANIMAL ADOPTION RECORDS</b> Includes pre-adoption records and agreements.	Destroy in office after 2 years.	
3.	<b>ANIMAL ABUSE AND CRUELTY CASES</b> Includes complaints, citations and/or compliance orders, and similar records.	Destroy in office after 5 years.*	G.S. §14-360
4.	<b>ANIMAL BITE RECORDS</b> Includes copies of bite reports filed with the local Public Health Department.  See also <a href="#">DANGEROUS ANIMAL RECORDS</a> item 10, page 19.	Destroy in office after 3 years.*	G.S. §130A-196, 197, 198.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>ANIMAL COMPLAINT RECORDS</b> Includes complaints of animal abuse and nuisances.  See also <a href="#">DANGEROUS ANIMAL RECORDS</a> item 10, page 19.	Destroy in office after 3 years.*	
6.	<b>ANIMAL CONTROL CITATIONS/COMPLIANCE ORDERS</b> Includes citations and/or compliance orders issued to animal owners of violations of county ordinances.  See also <a href="#">DANGEROUS ANIMAL RECORDS</a> item 10, page 19.	Destroy in office after 3 years.*	
7.	<b>ANIMAL LICENSE RECORDS</b> Records concerning the payment of license fees.	Destroy in office after 3 years.*	
8.	<b>CERTIFICATES OF ANIMAL RELEASE</b> Certificates verifying health of animal examined and released by county animal control.	Destroy in office after 1 year.	
9.	<b>CONTROLLED SUBSTANCE EUTHANASIA LOG</b> Includes amount of controlled substance used and animals destroyed.	Destroy in office after 2 years.	21 CFR 1304.03
10.	<b>DANGEROUS ANIMAL RECORDS</b> Includes complaints, compliance orders, citations, bite reports, and similar records relating to dangerous animals.	Destroy in office records relating to dangerous animals until known dead or after 10 years.*	G.S. §67-4.1

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-3: ANIMAL CONTROL AND SHELTER RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>HISTORIES OF PET OWNERS</b> Records concerning information for each animal owner that violates the county ordinances. May include signed complaint forms, pictures, and paperwork issued by the animal control officer.	Destroy in office after 3 years.*	
12.	<b>OWNER CONTACT NOTICE RECORDS</b>	Destroy in office 1 year from date of contact.	
13.	<b>RABIES CONTROL REPORTS</b> Monthly reports sent to the Division of Health Services.	Destroy in office after 1 year.	
14.	<b>SHELTER DISPOSITION SHEETS</b> Sheets filed on each animal processed by the animal shelter, containing information on whether the animal is reclaimed by the owner, adopted, or euthanized.	Destroy in office after 1 year.	
15.	<b>VACCINATION RECORDS</b> Includes rabies vaccination certificates sent to county animal control by area veterinarians.	Destroy in office after 3 years.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

**STANDARD-5. CODE ENFORCEMENT AND INSPECTION RECORDS**

Official records and materials created and accumulated during the conduct of county inspection programs.

In accordance with G.S. §153A-373, "The inspection department shall keep complete, and accurate records in convenient form of each application received, each permit issued, each inspection and reinspection made, and each defect found, each certificate of compliance granted, and all other work and activities of the department. These records shall be kept in the manner and for the periods prescribed by the North Carolina Department of Cultural Resources. The department shall submit periodic reports to the Board of Commissioners and to the Commissioner of Insurance as the Board or the Commissioner may require." (1969, s. 1: c.822, s.1; 1983, c.377, s.6.)

ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>AIR POLLUTION SOURCE INFORMATION</b> For facilities which are no longer operational.	Destroy in office after 2 years.*	
2.	<b>BEER AND WINE LICENSES</b> Issuance and payment records concerning local licenses corresponding with Alcohol Beverage Control (ABC) permits.	Destroy in office 3 years after expiration.*	G.S. § 105-113.70
3.	<b>BLUEPRINTS AND SPECIFICATIONS</b> Blueprints and specifications of county owned buildings and facilities, or drawings submitted when applying for a building permit for new construction. May include as-built plans and related records concerning approved changes or used in determining code compliance and enforcement of building code.	a) Destroy in office residential blueprints and specifications when administrative value ends.† Agency Policy: Destroy in office after _____  b) Destroy in office commercial blueprints and specifications 1 year after permit is issued.  c) Retain agency blueprints and specifications for life of structure.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of government building detailed plans and drawings.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.



ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>BUILDING AND ROAD PERMITTING AND INSPECTION RECORDS</b> Includes applications for permits from property owners to erect new structures or manufactured homes, or to make structural modifications, demolition, fire permits, or the installation of plumbing, electrical, or mechanical systems. Records include permits, inspection reports, inspector's worksheets, inspection requests, denial reports, sketches, plans, and correspondence (including email). May include contractor change forms.	a) Destroy in office permits, applications, and inspection reports (or worksheets) 6 years after Certificate of Occupancy is issued or project is complete (inactive).  b) Destroy in office Certificate of Occupancy 6 years after permit is expired.  c) Destroy in office remaining records, including applications for which a permit was never issued, when administrative value ends.† Agency Policy: Destroy in office after _____	
5.	<b>BUSINESS CERTIFICATION RECORDS</b> Applications and supporting documentation submitted by businesses to be certified as a Small Business Enterprise (SBE) or other classification.	a) Destroy in office 3 years after most recent recertification.  b) Destroy in office applications for which a certification was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
6.	<b>CONTROLLED SUBSTANCE LABS DECONTAMINATION RECORDS</b> Records concerning decontamination compliance.	Destroy in office 3 years after documented decontamination is complete.	
7.	<b>DAM CONSTRUCTION, OPERATION, AND MAINTENANCE FILES</b>	Retain for life of structure.	
8.	<b>DROUGHT CONTINGENCY PLANS</b> Water conservation plans in the event of a drought.	Destroy in office when superseded or obsolete.	
9.	<b>EROSION AND SEDIMENT CONTROL AFFIDAVITS</b> Forestry and agricultural affidavits clarifying land use exempt from land-disturbing activity standards.	Destroy in office after 6 years.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
10.	<b>EROSION AND SEDIMENT CONTROL ENFORCEMENT CASES</b> Includes settled legal matters and penalties.	Destroy in office 6 years after settlement.*	
11.	<b>EROSION AND SEDIMENT CONTROL PLANS</b> Includes approved and disapproved plans. May include revisions and addenda.	a) Destroy in office approved plans 6 years after approval or last revision and/or addendum.  b) Destroy in office non-approved plans after 3 years.	
12.	<b>EXEMPTION (VARIANCE) RECORDS</b> Exemption and variance records concerned with the installation of water, sewer, gas, or electric lines.	a) Destroy in office 5 years after expiration.*  b) Destroy in office records for which an exemption or variance was not issued after 3 years.	40 CFR 141.33  15A NCAC 18C .1526
13.	<b>FACILITY MAINTENANCE, REPAIR, AND INSPECTION RECORDS</b> Records concerning the maintenance, repair, and inspection of county owned facilities.  See also <a href="#">GRANTS</a> item 28, page 6.	a) Destroy in office records documenting routine inspections, janitorial cleaning, and routine maintenance of facilities after 1 year.  b) Destroy in office records concerning all other facility maintenance, repair, and inspection (including plumbing, electrical, fire, and other systems) after 3 years.	
14.	<b>GOING-OUT-OF-BUSINESS LICENSES</b> Licenses granted to business to hold going out of business, water and smoke damage, and distress sales.	Destroy in office 1 year after expiration.	G.S. §66-77
15.	<b>GROUNDWATER MONITORING RECORDS</b> Includes all groundwater monitoring wells and associated groundwater surface elevations.	Destroy in office after 5 years.*	15A NCAC 2C .0100

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>HAZARDOUS WASTE DISPOSAL RECORDS</b> Data concerning the disposal of hazardous materials, including asbestos. Includes copies of manifests, lists of companies doing the removal, location, how much to be disposed, when to be removed, route and method of disposal, and other related documentation.	Destroy in office after 3 years.*	40 CFR 262.40  15A NCAC 13A .0100
17.	<b>ILLEGAL DUMPING FILE</b> Records concerning illegal dumping complaints received.	Destroy in office after 5 years.*	
18.	<b>INSPECTIONS: ELECTRIC POWER AND NATURAL GAS SYSTEM</b> Includes non-compliance inspection and test records conducted by a facility.	Destroy in office after 5 years.*	
19.	<b>INSPECTIONS: ENVIRONMENTAL HEALTH SUMMARIES</b> Summaries of inspections of establishments whose business impacts environmental health.	a) Destroy in office after 3 years from date records were created while establishment is in operation.  b) Destroy in office 1 year after establishment ceases to operate.	
20.	<b>INSPECTIONS: LANDFILL</b> Records and reports completed to prevent malfunctions and deterioration, operation errors, and discharges that may cause or lead to the release of wastes in the environment.	Destroy in office after 5 years.*	
21.	<b>INSPECTIONS: PERIODIC REPORTS OF INDUSTRIAL FACILITIES</b>	Destroy in office after 5 years.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>INSPECTIONS: SANITARY LANDFILL</b> Includes state inspection form.	Destroy in office after 1 year.	
23.	<b>INSPECTIONS: SEWAGE DISPOSAL SYSTEM</b> Reports showing home structure and water line diagram. Reports are used to indicate sewage hookups and to comply with local government codes.	Destroy in office 2 years after inspection.	
24.	<b>INSPECTIONS: SUBSTANDARD HOUSING</b>	Destroy in office after 6 years.	
25.	<b>INSPECTIONS: WASTE LOADS</b> Inspections conducted to prevent the disposal of illegal and/or restricted materials in a landfill.	Destroy in office after 3 years.	
26.	<b>INSPECTIONS: WATER AND WASTEWATER SYSTEM</b> Includes non-compliance inspections and test records conducted by a facility.	Destroy in office after 5 years.*	
27.	<b>LABORATORY OPERATIONS RECORDS</b> Includes documentation of all analytical quality control practices, reporting units, forms, test methods, and related procedures pertaining to certification.	a) Destroy in office samples, raw data, analysis reports, and related documentation after 5 years.*  b) Destroy in office records concerning certification 2 years after expiration, cancellation, revocation, or denial.*	15A NCAC 02H .0805(7)(G) and .1100.
28.	<b>LEAD AND COPPER COMPLIANCE RECORDS</b> Includes all monitoring records required by federal, state, and local regulations.	Destroy in office after 12 years.*	40 CFR 141.91
29.	<b>LIFT/PUMP STATION INFORMATION FILE</b> Technical information concerning lift station and maintenance, water, and sewer petition work.	Destroy in office after 3 years.*	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<b>LANDFILL OPERATIONAL PLAN</b> Describes the intended schedule of construction, description of on-site waste handling procedures during active life of the facility, contingency plans, description of maintenance of installed equipment, and any other information pertaining to the operation, maintenance, monitoring, or inspections as may be required by federal and state law.	Retain in office permanently.	
31.	<b>LANDFILL TONNAGE AND COST FILE</b>	Destroy in office after the 5 year reporting period is complete.	
32.	<b>NORTH CAROLINA SEDIMENTATION AND POLLUTION CONTROL COMMISSION</b> Contains documentation of sedimentation control measures to be used on individual projects.	Destroy in office after 3 years.	
33.	<b>PERMIT LOG</b> Record showing permit number, date, name of owner, cost of construction (if applicable), permit date, and receipts.	Destroy in office after 6 years.	
34.	<b>PERMIT RECEIPT BOOKS</b>	Destroy in office after 3 years.*	
35.	<b>PERMITS: BURNING</b> Records concerning permits issued during site construction.	a) Destroy in office after 3 years.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
36.	<b>PERMITS: COMMUNITY WATER SYSTEM</b> Permit issued by the NC Department of Environment and Natural Resources.	Destroy in office when superseded.	G.S. §130A-328(a)
37.	<b>PERMITS: ENCROACHMENTS OF RIGHT-OF-WAY</b>	a) Destroy in office 3 years after case is resolved.*  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
38.	<b>PERMITS: FACILITIES USE</b>	a) Destroy in office after 3 years.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	
39.	<b>PERMITS: LANDFILL</b>	Destroy in office after the 5 year reporting period is complete.	
40.	<b>PERMITS: MISCELLANEOUS (CONSTRUCTION)</b> Applications and permits regarding sign installation, fencing, swimming pools, driveways, or similar activity required by local ordinance.  See also <a href="#">PERMITS: MISCELLANEOUS (NON-CONSTRUCTION)</a> item 41, page 38.	a) Destroy in office 3 years after completion of project.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<b>PERMITS: MISCELLANEOUS (NON-CONSTRUCTION)</b> Includes, but is not limited to, applications and permits regarding burning, special events, and landscape establishment.  See also <a href="#">PERMITS: MISCELLANEOUS (CONSTRUCTION)</a> item 40, page 37.	a) Destroy in office 1 year after expiration of permit.  b) Destroy in office applications for which a permit was never issued when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	
42.	<b>PERMITS: PUBLIC UTILITIES PROJECTS</b> Permits, approval letters, and other related documentation required by local, state, or federal ordinance, regulation, or statute. Includes records regarding National Pollutant Discharge Elimination System (NPDES) permits.	a) Destroy in office permits 6 years after expiration, cancellation, revocation, or denial.*  b) Retain approval letters and supporting documentation permanently.	15A NCAC 18C .0300 and 2H .0115  40 CFR 122.28 (1993)
43.	<b>RECREATIONAL VEHICLE REGISTRATION RECORDS</b> Records concerning issuance of registrations/decals for recreational vehicles including, but not limited to, golf carts, canoes, and mopeds. May include proof of insurance and renewals.	Destroy in office 1 year after expiration.*	
44.	<b>REPORTS: DAILY WATER AND WASTEWATER FACILITY OPERATORS LOGS</b> Includes water distribution and treatment.	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.*	15A NCAC 18C .1301

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<b>REPORTS: DISCHARGE MONITORING</b> Includes discharge and non-discharge monitoring reports submitted to state and/or federal regulatory agencies. Also includes copies of monthly reports required by National Pollution Discharge Elimination System (NPDES) permits.	a) Destroy in office daily reports after 3 years.  b) Destroy in office National Pollutant Discharge Elimination System (NPDES) reports 5 years from date of submission.*  c) Destroy in office annual reports 5 years from date of submission.*	40 CFR 122.41(3)(j)(2)  15A NCAC 2B .0506
46.	<b>REPORTS: ENVIRONMENTAL HEALTH</b> Laboratory reports showing results of environmental health tests.	Destroy in office after 3 years.	
47.	<b>REPORTS: LANDFILL MONITORING</b> Gas and groundwater monitoring records and reports.	a) Retain official reports permanently.  b) Destroy in office remaining records after 3 years.	
48.	<b>REPORTS: MONTHLY BUILDING PERMITS AND CONSTRUCTION</b> Customized reports used for statistical analysis of current development trends within the county. This information also is submitted to the U. S. Department of Commerce & Bureau of the Census and/or the NC Department of Environment and Natural Resources (DENR).	Destroy in office after 3 years.	
49.	<b>REPORTS: U.S. ENVIRONMENTAL PROTECTION AGENCY (EPA)</b>	Destroy in office after 2 years.*	
50.	<b>REPORTS: WASTEWATER MAINTENANCE OPERATION</b>	Destroy in office after 3 years.	
51.	<b>STANDARD BUILDING CODES</b>	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
52.	<b>STREET INFORMATION</b> May include master address logs.	Destroy in office when superseded or obsolete.	
53.	<b>TRADES CERTIFICATIONS</b> Includes contractors licensing records.	Destroy in office when superseded or obsolete.	
54.	<b>TROUT BUFFER VARIANCES</b> Records may include denials and waivers.	a) Destroy in office 6 years after approval of permit.  b) Destroy in office plans for which a permit was not issued after 3 years.	
55.	<b>UNSAFE BUILDINGS FILE</b> Notification to owner of unsafe conditions relative to a particular structure.	Destroy in office after 6 years provided all issues have been resolved.*	
56.	<b>VIOLATIONS</b> Includes complaints, certified return receipts, summons, notices, appeals, and other information created or compiled during the course of investigation and resolution of each alleged violation. Applies to violations of building and fire code, minimum housing, and erosion and sediment control.	Destroy in office 3 years after verification of correction. *	
57.	<b>VIOLATIONS: SOLID WASTE MANAGEMENT</b> Includes complaints, notices of violations, citations, investigation records, court documents, and other related records produced by solid waste environmental enforcement programs.	Destroy in office 7 years after resolution of case.*	
58.	<b>VIOLATIONS: WATER CONSERVATION</b> Notices of water conservation violation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
59.	<b>VALVE OPERATION FILE</b>	Destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	
60.	<b>WASTE OIL, BATTERIES, AND ELECTRONICS COLLECTION FILE</b> May include records of waste oil filter collections.	Destroy in office after 5 years.	
61.	<b>WASTEWATER POLLUTION CONTROL AND ABATEMENT RECORDS</b>	Destroy in office after 5 years.*	15A NCAC 2B .0500
62.	<b>WASTEWATER QUALITY ANALYSIS RECORDS</b>	a) Destroy in office monitoring and calculation sheets after 1 year.* b) Destroy in office analysis reports after 3 years.*	15A NCAC 2B .0500
63.	<b>WATER ANALYSIS</b> Includes bacteriological, chemical, radiological, and physical analyses and climatological observations. Also includes records of actions taken to correct violations.	a) Destroy in office records of bacteriological and turbidity analysis after 5 years. b) Destroy in office records of chemical and radiological analysis 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 other records after 5 years.	15A NCAC 18C .1526 40 CFR 141.33 (a)(b)

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-5: CODE ENFORCEMENT AND INSPECTION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
64.	<b>WATER, SEWER, AND WASTEWATER SYSTEM PROJECT RECORDS</b>  See also <a href="#">PERMITS: PUBLIC UTILITIES PROJECTS</a> , item 42, page 38.	Destroy in office 6 years after project is completed.	15A NCAC 18C .0305
65.	<b>WATER SYSTEM OPERATIONS RECORDS</b> Includes backflow prevention reports, flow reports, capacity studies, pump station reports, and similar records that summarize the operations of water supply, treatment, distribution, and collection.	Destroy in office after 10 years.*	40 CFR 141.33 15A NCAC 18C .1526
66.	<b>WATER TANKS, SPECIFICATIONS, AND BOOSTER STATIONS FILE</b>	Destroy in office after 5 years.*	

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**STANDARD-6. EMERGENCY SERVICES RECORDS**

Official records explaining the authority, operating philosophy, purposed methods, and primary functions of emergency services programs.

ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>911 CALL RECORDINGS</b>	Destroy in office after 30 days, if not made part of a case file.*	G.S. §132-1.4(i)  Comply with applicable provisions of G.S. §132-1.5 regarding the confidentiality of automatic identification information contained in 911 database.
2.	<b>911 COMMUNICATION RECORDS</b> Transcripts of 911 calls received and computer-aided dispatch (CAD) reports. Reports may list time and date of call, contents of call, location of call, name of unit dispatched, and other related information.	Destroy in office after 3 years, if not made part of a case file.*	Comply with applicable provisions of G.S. §132-1.4(c)(4) regarding the confidentiality of the identity of complaining witnesses.
3.	<b>911 FILE</b> Information regarding the implementation, training, and operations of the 911 system.	Destroy in office after 5 years.	
4.	<b>ACTIVITY REPORTS</b> Reports on an individual, shift, project, and other basis submitted on a daily, weekly, or other basis.	Destroy in office after 3 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
5.	<b>AMBULANCE CALL REPORTS (ACR)/PATIENT CARE REPORTS (PCR)</b> Records showing equipment used, patient location, nature of call, vital signs and other physical signs, care rendered, medicine ordered, etc.	a) Transfer copy of report to the admitting hospital for inclusion into patient's medical record.  b) Destroy original after 11 years from last patient service.*	
6.	<b>AMBULANCE DISPATCH RECORDS</b> Includes run number, date, time, address, phone number, reason for dispatch, age of patient, condition of patient, responders, and other related information.	Destroy in office after 3 years.*	
7.	<b>AMBULANCE SERVICE RUN LOG</b> Includes response number, location of call, responding unit, arrival and departure times, and other related information.	Destroy in office after 3 years.*	
8.	<b>ANNUAL SUBMISSION ON PERSONNEL AND ADMINISTRATION FUNDS FILE</b>	Destroy in office after 3 years.	
9.	<b>COMPANY RUN REPORT (FIRE JOURNAL)</b> Listings of fire calls, alarms, personnel involved, equipment used, and actions taken.	Destroy in office after 5 years.	
10.	<b>CONSOLIDATED MONTHLY REPORTS</b>	Destroy in office after 5 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DISASTER AND EMERGENCY MANAGEMENT PLANS</b> Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes, but is not limited to, official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	Retain plans until superseded; destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	Comply with applicable provisions of G.S. §132-1.7 regarding the confidentiality of security records.
12.	<b>DISPATCH RECORDINGS</b> Recordings made of activities during an emergency services dispatch.	Destroy in office after 30 days, if not made part of a case file.*	
13.	<b>EMERGENCY NOTIFICATIONS</b>	Destroy in office when superseded or obsolete.	
14.	<b>EVACUATION PLANS</b>	Destroy in office when superseded or obsolete.	
15.	<b>FIRE ALARM AND AUTOMATIC EXTINGUISHER FILE</b> Certificates, licenses, and insurance certificates of companies that perform installations of fire alarm and automatic extinguishing systems.	Destroy in office when superseded or obsolete.	
16.	<b>FIRE ALARM JOURNAL</b> Journal or other listing of alarms answered by the fire department.	Destroy in office after 3 years.	
17.	<b>FIRE DISPATCH FILE</b> Records relating to fire dispatch zones. May include maps of fire dispatch zones, census tract information, annexation research, street closings, and other related material.	Destroy in office when superseded or obsolete.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<b>FIRE INVESTIGATION CASE FILES</b> Includes detailed information regarding circumstances of the incident including location, information on damage and injuries, and possible cause of incident. May also include photographs and evidence log.  See also <a href="#">FIRE INVESTIGATION RECORDS</a> item 19, page 46.	a) Destroy in office after 5 years when cause of fire is determined to be accidental and no loss of life occurs*  b) Destroy in office after 10 years when arson is involved.*  c) Retain in office permanently when loss of life occurs or if a publicly-owned building is involved.*	
19.	<b>FIRE INVESTIGATION RECORDS</b> Reports and correspondence, including email, of fires investigated by department personnel.  See also <a href="#">FIRE INVESTIGATION CASE FILES</a> item 18, page 46.	Destroy in office when administrative value ends if not made part of a case file.† Agency Policy: Destroy in office after _____	
20.	<b>FIRE LIMITS ORDINANCES</b> Ordinances passed by council establishing and defining fire limits which shall include principal business portions of the county.	Retain in office permanently.	
21.	<b>FIRE SAFETY INSPECTIONS</b> Inspections and permits issued of buildings and systems for proper fire protection measures and procedures.	a) Destroy in office inspections with no defects after 3 years.  b) Destroy in office inspections with noted defects 3 years after defects are corrected.*  c) Destroy in office permits after 3 years.	
22.	<b>FIXED NUCLEAR FACILITIES PLANS FILE</b> Includes emergency plans for county fixed nuclear facilities.	Destroy in office after 3 years.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<b>HOSE RECORDS</b> Records concerning the age, repair, and routine testing of fire hoses.	Destroy in office after 2 years.	
24.	<b>HYDRANT RECORDS</b> Records of fire hydrant locations, water main sizes, routine testing, and maintenance.	a) Destroy in office inspection and test records after 2 years. b) Retain in office maintenance records for life of the hydrant. c) Destroy in office records showing location and size of water mains when superseded or obsolete.	
25.	<b>LOCAL EMERGENCY PLANNING COMMITTEE MINUTES</b>	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	42 USC §11003
26.	<b>LOCAL EMERGENCY PLANS</b> Comprehensive emergency response plans developed by emergency planning districts.	Destroy in office when superseded or obsolete.	42 USC §11001
27.	<b>NATIONAL FLOOD INSURANCE PROGRAM RECORDS</b>	Retain in office permanently.	
28.	<b>NORTH CAROLINA FIRE CASUALTY REPORT</b> Report filed with the N.C. State Fire Commission.	Destroy in office after 5 years.	
29.	<b>NORTH CAROLINA FIRE INCIDENT REPORT</b> Report filed with the N.C. State Fire Commission, county fire marshal, town or city council, or county commissioners.	Destroy in office after 5 years.	G.S. §58-79-45
30.	<b>NORTH CAROLINA FIRE ASSOCIATION RECORDS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
31.	<b>NORTH CAROLINA FIREMAN'S PENSION FUND PRINTOUT</b> Documentation of annual leave, history report, position summary, etc., for the N.C. Fireman's Pension Fund.	Destroy in office when superseded or obsolete.	
32.	<b>NUCLEAR CIVIL PROTECTION PLAN</b>	Destroy in office when superseded or obsolete.	
33.	<b>PHARMACEUTICAL RECORDS</b>	Destroy in office after 3 years.*	
34.	<b>PLANS</b> Plans of buildings and fire safety systems of commercial and industrial properties.	Destroy in office when superseded or obsolete.	
35.	<b>PUMP TEST RECORDS</b> Results of tests conducted on pumping equipment.	Destroy in office after 2 years.	
36.	<b>RADIOLOGICAL DEFENSE (RADEF) DATA BANK RADIOACTIVE MATERIAL INVENTORY</b>	Destroy in office after loan of radioactive materials ends.	
37.	<b>RADIOLOGICAL DATA STATION FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
38.	<b>RESOLUTIONS ON ESTABLISHMENT OF LOCAL AGENCY</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
39.	<b>SAFETY COMMITTEE MEETINGS</b> Includes agendas, exhibits, and copies of supporting documentation submitted and discussed during meetings of public bodies.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	

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ITEM #	STANDARD-6: EMERGENCY SERVICES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
40.	<b>SHELTER FACILITIES LISTING</b>	Destroy in office when superseded or obsolete.	
41.	<b>STATE OF EMERGENCY ORDINANCES</b>	Retain in office permanently.	
42.	<b>SUPERFUND AUTHORIZATION RECOVERY ACT INFORMATION FILE</b> Information concerning the location of hazardous waste in the community.	Destroy in office when superseded or obsolete.	
43.	<b>VOLUNTEER FIRE/RESCUE DEPARTMENT LOGS</b>	Destroy in office after 3 years.*	
44.	<b>VOLUNTEER FIREFIGHTERS MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations required by state or federal law, and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*  b) Destroy in office records pertaining to job-related illness and injury after 5 years.  c) Destroy in office results of routine medical examinations and similar records after 1 year.  <i>Retention Note: Records must be maintained separately from an employee's personnel jacket.</i>	29 CFR 1910.1020 (d)(ii)
45.	<b>VOLUNTEER FIREFIGHTERS PERSONNEL RECORDS</b> Official copy of personnel file maintained on each volunteer firefighter. May include basic information and records and forms relating to the duties, service, suspension, and termination of the volunteer.  See also <a href="#">VOLUNTEER FIREFIGHTERS MEDICAL RECORDS</a> item 44, page 49.	Destroy in office 30 years from date of separation.*	

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**STANDARD-10. PARKS AND RECREATION RECORDS**

Official records and materials created and accumulated during the conduct of county parks and recreation programs. Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.

ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCIDENT/INCIDENT REPORTS (PARKS &amp; RECREATION)</b>  See also <a href="#">WORKERS' COMPENSATION PROGRAM CLAIMS FILE</a> item 60, page 86.	Follow disposition instructions for <a href="#">ACCIDENT/INCIDENT REPORTS (CUSTOMER AND EMPLOYEE)</a> item 1, page 112.	.
2.	<b>ADMISSION RECORDS</b> Records of admissions to county parks or recreation facilities.	Destroy in office after 3 years.*	
3.	<b>ANNUAL ACTIVITY REPORT</b> Copies of financial and statistical reports sent to governing body.	Destroy in office after incorporation into official minutes of governing body.	
4.	<b>BIRTH CERTIFICATES (REFERENCE COPIES)</b> Copies of each participant's birth certificate to verify age and register individual for participation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
5.	<b>CITATIONS RECORDS</b> Citations issued by park personnel to persons who violate park rules and regulations.	Destroy in office after 2 years.	

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ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>INTERNATIONAL FEDERATION OF PARKS AND RECREATION ADMINISTRATION FILE</b> Records concerning general and technical material associated with the International Federation.	Destroy in office when superseded or obsolete.	
7.	<b>OFFICIALS FILE</b> Records concerning individuals who officiate games. Includes payroll, schedule, and related correspondence, including email.	a) Destroy in office after 3 years.  b) If official is a county employee, transfer applicable records to <a href="#">PAYROLL AND EARNINGS RECORDS</a> item 45, page 27.	
8.	<b>PARKS AND RECREATION BOARD MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Parks and Recreation Board.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	
9.	<b>PARKS PLANNING FILE</b> Includes master plans and working plans for each park property and county recreational facility, which show layout, topography, and proposed developments and improvements. May include drainage and resource maps, aerial maps, site analysis drawings, construction plans, and as-built drawings.  See also <a href="#">COMPREHENSIVE PLAN</a> item 16, page 3. See also <a href="#">PARK MAPS</a> , item 16, page 56.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____  b) If not an element of the Comprehensive Plan, destroy in office when superseded or obsolete.  c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan or when superseded or obsolete, whichever comes first.	
10.	<b>POOL RECORDS</b> Monthly reports indicating operational data, chemicals used, chlorination levels, and other information relating to pool construction, maintenance, and health and safety.	Destroy in office after 1 year.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-10: PARKS AND RECREATION RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>RECREATION PROGRAMS</b> Records regarding athletic and recreation programs. May include staff notes, lesson plans, course descriptions, instruction manuals, schedules, team rosters, registration information, and concession operators list.	Destroy in office after 1 year.	Comply with applicable provisions of G.S. §132-1.12 regarding confidentiality of juvenile records.
12.	<b>RECREATIONAL EQUIPMENT RECORDS</b> Records of equipment owned by county parks and recreation facilities and lent to users.	Destroy in office 1 year after equipment is returned.	
13.	<b>RELEASE FORMS</b>	Destroy in office after 2 years.*	
14.	<b>RESERVATION RECORDS</b> Reservation records for county parks and recreational facilities.	Destroy in office after 1 year.	
15.	<b>RULES AND REGULATIONS</b> Rules and regulations relating to use of park facilities and equipment issued by the Parks and Recreation Board.	Destroy in office 5 years after rules are revoked or superseded.*	
16.	<b>SPECIAL EVENTS PROGRAM FILE</b> Records concerning special events promoted by the county. May include printing, calendars, program data, community contacts, and addresses.	Destroy in office after 1 year.	
17.	<b>TICKET STUBS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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**STANDARD-11. PERSONNEL RECORDS**

Official records and materials created and accumulated incidental to the employment, qualifications, training, and pay status of county employees. Comply with applicable provisions of G.S. §153A-98 regarding confidentiality of personnel records.

ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	ABOLISHED POSITION FILE	Destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	
2.	ADS AND NOTICES OF OVERTIME, PROMOTION, AND TRAINING OPPORTUNITIES	Destroy in office 1 year from date record was made.	29 CFR 1627.3(b)
3.	AFFIRMATIVE ACTION FILE	a) Destroy in office all reports, analyses, and statistical data after 5 years.  b) Destroy in office affirmative action plans 5 years from date superseded.	29 CFR 30.8(b),(e) 29 CFR 1608.4
4.	APPRENTICESHIP PROGRAM RECORDS	Destroy in office 5 years from the date of enrollment.	29 CFR 30.8(d),(e)
5.	<b>APTITUDE AND SKILLS TESTING RECORDS</b> Records concerning aptitude and skills tests required of job applicants or of current employees to qualify for promotion or transfer. May include civil service examinations.  See also <a href="#">EMPLOYMENT SELECTION RECORDS</a> item 32, page 80.	Destroy in office after 2 years.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>BENEFITS REIMBURSEMENT PLAN</b> Dental, vision, or other benefits-related claim forms and receipts submitted by employees requesting reimbursement from the county.	a) Destroy in office records concerning approved requests after 3 years.*  b) Destroy in office records concerning rejected requests 6 months after decision.	
7.	<b>CAFETERIA PLAN (FLEXIBLE SPENDING) RECORDS</b> Records concerning incentive systems in which employees can select the fringe benefits they want from a menu of available alternatives.	a) Destroy in office annual enrollment records after 1 year.  b) Destroy in office remaining records and receipts 3 years after completion of all audits.*	
8.	<b>COBRA RECORDS (CONSOLIDATED OMNIBUS BUDGET RECONCILIATION ACT)</b> Includes notifications, election and claim forms, rejection letters, and similar information.	Destroy in office 3 years from date eligibility ended.	29 USC 1161 26 USC 4980B 42 USC 300-bb-1
9.	<b>DEFERRED COMPENSATION FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
10.	<b>DISABILITY SALARY CONTINUATION CLAIMS</b> Forms used by disabled employees to apply for salary continuation benefits.	a) Transfer original forms to Local Government Employees' Retirement System (LERS) for action when received.  b) Destroy in office reference copies after 1 year.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DISCIPLINARY FILE</b> Correspondence, including email, and other records concerning disciplinary action taken against employees by personnel or supervisory staff, including records documenting terminations. May include records created by civil service boards when considering, or reconsidering on appeal, an adverse action against an employee.	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83. b) Destroy in office all remaining records 2 years after resolution of all actions.	29 CFR 1602.14 29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>DRUG AND ALCOHOL PROGRAMS FILE</b> Records concerning an agency's alcohol misuse and controlled substances use prevention programs. May include test results, evaluations and referrals, annual summary reports, education and training records, chain of custody forms, and all other program related documents.	<p>a) Destroy in office alcohol test results indicating a blood alcohol concentration of 0.02 or greater, records of verified positive drug or alcohol test results, documentation of refusals to take required alcohol and/or drug tests (including substituted or adulterated drug test results), referrals to Substance Abuse Professionals (SAP), SAP reports, all follow-up tests and schedules for follow-up tests, copies of annual Drug &amp; Alcohol Management Information System (MIS) reports submitted to Federal Transit Administration (FTA), equipment calibrations, and records related to the administration of the testing program after 5 years.</p> <p>b) Destroy in office records obtained from previous employers concerning drug and alcohol test results after 3 years.</p> <p>c) Destroy in office records of the inspection, maintenance, and calibration of Evidential Breath Testing Devices (EBTs), records related to the collection process, and records concerning the training of program staff after 3 years.</p> <p>d) Destroy in office records of negative and cancelled drug or alcohol test results, including alcohol test results with a blood alcohol concentration of less than 0.02, after 1 year.</p> <p><i>Retention Note: Records should be maintained in a location with controlled access.</i></p>	49 CFR 382.401 49 CFR 40.333 49 CFR 655.71

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>DUAL EMPLOYMENT FILE</b> Records concerning employees' requests and authorizations to accept secondary employment.	a) Destroy in office approved requests and related records 1 year after employee terminates outside employment.  b) Destroy in office unapproved requests and related records after 6 months.	
14.	<b>EDUCATIONAL LEAVE AND REIMBURSEMENT FILE</b>  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	a) Destroy in office records concerning approved requests when released from all audits.  b) Destroy in office records concerning unapproved requests 6 months after unapproval.*	Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.
15.	<b>EMPLOYEE BENEFITS REGISTER</b>	Destroy in office after 2 years.	
16.	<b>EMPLOYEE CERTIFICATION AND QUALIFICATION RECORDS</b> Records concerning certification or qualification as required for employment, continued employment, or promotion.  See also <a href="#">EMPLOYMENT APPLICATIONS AND RESUMES</a> item 30, page 79.	a) Destroy in office certificates 5 years after date of separation.  b) Destroy in office all remaining records 2 years after resolution of all actions.	
17.	<b>EMPLOYEE DIRECTORIES, ROSTERS, OR INDEXES</b> Includes records listing employees, their job titles, work locations, phone numbers, email addresses, and similar information.	Destroy in office when superseded or obsolete.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
18.	<b>EMPLOYEE EDUCATIONAL ASSISTANCE PROGRAM RECORDS</b> Includes records requesting tuition assistance, repayments, and other related records.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office 3 years after completion, denial, repayment, or removal from program.*	
19.	<b>EMPLOYEE ELIGIBILITY RECORDS</b> Includes the United States Immigration and Naturalization Services, Employment Eligibility Verification (I-9) forms.	a) Destroy in office certificates, I-9 forms, and statements, 3 years after individual was hired or 1 year from date of separation.  b) Destroy in office registers after 2 years.	8 USC 1324(b)
20.	<b>EMPLOYEE EXIT INTERVIEW RECORDS</b>  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office after 1 year.	
21.	<b>EMPLOYEE HEALTH CERTIFICATES</b> Includes health or physical examination reports, or certificates created in accordance with Title VII and the Americans with Disabilities Act (ADA).	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office all other records 2 years after resolution of all actions.	29 CFR 1602.31

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
22.	<b>EMPLOYEE MEDICAL RECORDS</b> Records concerning asbestos, toxic substances, and bloodborne pathogen exposure; medical examinations required by state or federal law; and records of injury or illness. (Does not include Worker's Compensation or health insurance claim records.)	a) Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.*  b) Destroy in office records pertaining to job-related illness and injury after 5 years.  c) Destroy in office results of medical examinations required in connection with personnel actions and similar records after 1 year.  <i>Retention Note: Records must be maintained separately from an employee's personnel jacket. If part of a workers compensation claim, follow disposition for <a href="#">WORKERS' COMPENSATION PROGRAM CLAIMS FILE</a> item 60, page 86.</i>	29 CFR 1627.3 29 CFR 1630.14 29 CFR 1904.4 29 CFR 1910 29 CFR 1910.1020 (d)(ii)
23.	<b>EMPLOYEE PENSION AND BENEFITS PLANS</b> Includes plans and related records outlining the terms of employee pension plans; life, health, and disability insurance, seniority and merit systems; and deferred compensation plans, including amendments.	Destroy in office 1 year after plan is terminated.	29 CFR 1627.3(2)
24.	<b>EMPLOYEE PENSION AND BENEFIT PLAN ENROLLMENT FORMS</b> Forms providing personal identifying data, beneficiary information, option selection, and similar information.	a) Transfer pension and deferred compensation enrollment forms to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office life, health, and disability insurance enrollment forms 4 years after termination of coverage.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
25.	<b>EMPLOYEE PERFORMANCE REVIEW FILE</b> Information used to establish employees' goals and primary tasks. Records used to evaluate each employee's work performance.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	a) Destroy in office supervisor approved and signed work plans after 3 years.  b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	
26.	<b>EMPLOYEE POLYGRAPH RECORDS</b> 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 agency.	Destroy in office 3 years from the date the test was given, or from the date the test was requested if no examination was given.	29 CFR 801.30
27.	<b>EMPLOYEE SUGGESTIONS</b> Includes employee surveys and survey responses.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
28.	<b>EMPLOYEE TRAINING AND EDUCATIONAL RECORDS</b> Includes employee-specific records (certificates, transcripts, test scores, etc.) and non-employee-specific records (training manuals and aids, syllabi, course outlines, attendance rosters, etc.) relating to the training, testing, or continuing education of employees.	a) Transfer employee-specific records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83 if such training and testing is required for the position held or could affect career advancement.  b) Destroy in office non-employee-specific records 1 year from date record was created.  c) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	29 CFR 1627.3(b)(1)(iv)

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
29.	<b>EMPLOYEE WORK SCHEDULES AND ASSIGNMENT RECORDS</b> Records concerning work, duty, shift, crew, or case schedules, rosters, or assignments.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
30.	<b>EMPLOYMENT APPLICATIONS AND RESUMES</b> Records submitted by job applicants for vacant positions or by current employees for promotion, transfer, or training opportunities. May include applications, transcripts, resumes, letters of reference, and similar records.	a) Transfer applications, resumes, transcripts, and similar records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83. b) Destroy in office all remaining records concerning individuals hired 2 years from date record was created or received, or the personnel action involved. c) Destroy in office records concerning individuals not hired 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.* d) Destroy in office unsolicited applications/resumes, and those received after posted closing dates, 2 years after receipt.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49
31.	<b>EMPLOYMENT LISTINGS, ADVERTISEMENTS, AND ANNOUNCEMENTS</b>	Destroy in office after 2 years.	29 CFR 1602

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
32.	<b>EMPLOYMENT SELECTION RECORDS</b> Records concerning the selection of applicants for vacant positions or of current employees for promotion, transfer, or training opportunities. May include interview documentation, rosters, eligibility lists, test ranking sheets, justification statements, background and criminal history checks, health or physical examinations, and similar records.  See also <a href="#">APTITUDE AND SKILLS TESTING RECORDS</a> item 5, page 71.	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office all remaining records 2 years after resolution of all actions.	29 CFR 1602.31 29 CFR 1602.40 29 CFR 1602.49 29 CFR 1627.3
33.	<b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) CASE RECORDS</b> Records concerning discrimination complaints and requests for reasonable accommodation received and resolved by the county.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office 2 years after resolution of case.*	29 CFR 1602.31
34.	<b>EQUAL EMPLOYMENT OPPORTUNITY (EEO) RECORDS AND REPORTS</b> Reports filed with the Equal Employment Opportunity Commission (EEOC) in accordance with the provisions of Title VII and the Americans with Disabilities Act (ADA). May include compiled documentation used to complete EEO reports.	Destroy in office after 3 years.	29 CFR 1602.31

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<b>EQUAL PAY RECORDS</b> Includes reports, studies, aggregated or summarized data, and similar documentation compiled to comply with the Equal Pay Act.	Destroy in office after 2 years.	29 CFR 1620.32
36.	<b>FRINGE BENEFITS FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
37.	<b>GRIEVANCE FILE</b> Includes initial complaint, investigations, actions, summary, and disposition. May include disciplinary correspondence, including email.  See also <a href="#">DISCIPLINARY FILE</a> item 11, page 73 and <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office after 2 years.*	
38.	<b>HEALTH INSURANCE FILE</b> Completed claim forms and other records concerning employees covered by health plans.	Destroy in office after 2 years.*	
39.	<b>INCREMENTS FILE</b>	Destroy in office when released from all audits.	
40.	<b>INTERNSHIP PROGRAM FILE</b> Records concerning interns and students.	Destroy in office after 3 years.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
41.	<b>LEAVE FILE</b> Records concerning employee leave, including requests for and approval of sick, vacation, overtime, buy-back, shared, donated, military, etc. Includes premium payments, employer notice, medical examinations considered in connection with personnel action, disputes with employees over the Family Medical Leave Act (FMLA), and other related records.	Destroy in office 3 years after return of employee or termination of employment.*	29 CFR 825.110(b)(2)(i)  29 CFR 825.500(b)
42.	<b>LONGEVITY PAY REQUESTS</b>	Destroy in office when released from all audits.	
43.	<b>MERIT AND SENIORITY SYSTEM RECORDS</b>	a) Destroy in office employee-specific records after 3 years.*  b) Destroy in office system and plan records 1 year after no longer in effect.	29 CFR 1627.3
44.	<b>PERSONNEL ACTION NOTICES</b> Records used to create or change information in the personnel records of individual employees concerning such issues as hiring, termination, transfer, pay grade, position or job title, name change, and leave.	a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) Destroy in office all remaining records 2 years from date record was created or received, or the personnel action involved.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
45.	<p><b>PERSONNEL RECORDS (OFFICIAL COPY)</b> Official copy of personnel file maintained on each agency employee. May include basic employee information and records and forms relating to the selection or non-selection, promotion, transfer, leave, salary, suspension, and termination of employment.</p> <p>See also <a href="#">EMPLOYEE MEDICAL RECORDS</a> item 22, page 77.</p>	<p>a) Destroy in office 30 years from date of separation information needed to document: date and amount of each increase or decrease in salary with that county; date and type of each promotion, demotion, transfer, suspension, separation, or other change in position classification with that county; date and general description of the reasons for each promotion with that county; date and type of each dismissal, suspension, or demotion for disciplinary reasons taken by the county; and, if the disciplinary action was a dismissal, a copy of the written notice of the final decision of the county setting forth the specific acts or omissions that are the basis of the dismissal.</p> <p>b) Destroy in office information used to verify benefits 30 years after date of separation.</p> <p>c) Destroy in office remaining records when individual retention periods are reached as noted in individual items in the Records Retention and Disposition Schedule.</p>	G.S. § 153A-98 (County Employees)
46.	<p><b>PERSONNEL RECORDS (REFERENCE COPY)</b> Duplicate copy of official personnel jacket that is often maintained below the department level by supervisors.</p>	<p>a) Transfer records as applicable to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.</p> <p>b) Destroy in office remaining records when administrative value ends.† Agency Policy: Destroy in office after _____</p>	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
47.	<b>POLICIES AND PROCEDURES (PERSONNEL)</b>	a) Retain in office official copy of internal agency personnel policies permanently.  b) Destroy in office reference copies and external policy procedures when superseded or obsolete.	
48.	<b>POSITION CLASSIFICATION/POSITION HISTORY FILE</b>  See also <a href="#">POSITION DESCRIPTION RECORDS</a> item 50, page 84.	a) Retain in office records with historical value permanently.  b) Destroy in office all other records when superseded or obsolete.	
49.	<b>POSITION CONTROL CARDS</b> Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
50.	<b>POSITION DESCRIPTION RECORDS</b> Includes information on job title, grade, duties, agency assigned, and responsibilities.	Destroy in office 2 years from date record is superseded.	29 CFR 1620.32
51.	<b>POSITION REQUISITION AND ANALYSIS RECORDS</b> Records used to fill vacant positions and request new positions.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
52.	<b>SALARY SURVEY RECORDS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
53.	<b>SERVICE AWARDS AND COMMENDATIONS</b> Includes award and selection committee reports, nominations, selection criteria, and similar employee recognition or incentive programs administrative records.  See also <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.	Destroy in office 2 years from date record was created or received, or the personnel action involved.	
54.	<b>TEMPORARY EMPLOYEE RECORDS</b> Records concerning temporary employees who are not provided with or eligible for benefits. Does not include personnel records created for specific federal programs.	a) If employee is a county employee, transfer applicable records to <a href="#">PERSONNEL RECORDS (OFFICIAL COPY)</a> item 45, page 83.  b) If the employee is a temporary service company employee, destroy in office 5 years from date of separation.	
55.	<b>UNEMPLOYMENT COMPENSATION CLAIMS</b> Claim form and other related records concerning unemployment compensation cases.	Destroy in office after 3 years.*	
56.	<b>UNEMPLOYMENT COMPENSATION REPORTS</b> Quarterly reports showing month-to-date wages, month-to-date compensation, year-to-date wages, and year-to-date compensation for each employee. May be filed with Employment Security Commission.	Destroy in office after 3 years.*	
57.	<b>UNEMPLOYMENT INSURANCE FILE</b>	a) Transfer original records to the N.C. Department of Commerce, Unemployment Insurance Division, when received.  b) Destroy in office remaining records after 2 years.	

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ITEM #	STANDARD-11: PERSONNEL RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
58.	<b>VOLUNTEER RECORDS</b> Records concerning individuals who volunteered to assist with various agency activities and/or serve on boards.	Destroy in office 3 years from date of last inquiry or entry.	
59.	<b>WORKERS' COMPENSATION PROGRAM (ADMINISTRATIVE) FILE</b> Includes program policies, guidelines, and related administrative documentation.	a) Retain in office records with historical value permanently.  b) Destroy in office all other records when administrative value ends.† Agency Policy: Destroy in office after _____	
60.	<b>WORKERS' COMPENSATION PROGRAM CLAIMS FILE</b> Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. May include Employer's Report of Injury to Employee (Form 19), accident investigation reports, medical reports, reference copies of medical invoices, and other related records. Also includes reference copies. (Records concerning claims filed for injuries that occurred prior to July 5, 1994 are considered permanent records in compliance with <i>Hylar v. GTE Prods. Co.</i> , 333 N. C. 258 S.E.2d 698 (1993).)	a) Retain in office permanently records concerning claims filed for injuries that occurred prior to July 5, 1994. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. §97-92(a), and in accordance with county personnel policy. Retain in office permanently records concerning claims filed for injuries that occurred on or after July 5, 1994, for which the Industrial Commission form "Employee's Claim for Additional Medical Compensation Pursuant to N.C. Gen. Stat. §97-25.1" (Form 18M) has been filed. Destroy in office remaining records 5 years after closing, in accordance with G.S. §97-24(c), if no litigation, claim, audit, or other official action involving the records has been initiated.*  b) If official action has been initiated, transfer to <a href="#">LITIGATION CASE RECORDS</a> item 14, page 66.	Comply with applicable provisions of G.S. §8-53 regarding the confidentiality of physician-patient records.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

**STANDARD-12. PLANNING AND ZONING RECORDS**

Official records and materials created and accumulated during the conduct of county planning and zoning programs. [See Standard 12 supplement in separate document](#)

ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>APPEARANCE COMMISSION MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Appearance Commission.	Follow disposition instructions for <a href="#">MINUTES OF PUBLIC BODIES</a> item 34, page 8.	
2.	<b>APPEARANCE COMMISSION PROJECT FILE</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
3.	<b>ASSESSMENT RECORDS FILE</b> Copies of assessment records and supporting documentation.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
4.	<b>BOARD OF ADJUSTMENT CASE FILE</b> Cases submitted to the board requesting variances from current zoning ordinances.	Destroy in office 6 years after resolution of case.*	G.S. §§153A-340 G.S. § 1-50(5)
5.	<b>BOARD OF ADJUSTMENT CASE INDEX</b> Index to cases reviewed by the board.	Retain in office permanently.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>BOARD OF ADJUSTMENT MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Board of Adjustment.  See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming.	a) The official minutes of the governing board and its subsidiary boards are permanent records.  b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.  c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after _____	
7.	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) ADMINISTRATIVE RECORDS</b> Records concerning the administration of projects funded under the Community Development Block Grant program (CDBG). May include both direct grants and regrants, including the preliminary reports, audits, certificates, maps, and related correspondence, including email.	a) Retain in office records with historical value permanently.  b) Destroy in office all other records 5 years after completion of project.*	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) APPLICATION RECORDS</b> Records concerning the application and completion of projects funded under CDBG funds. May include both direct grants and regrants, including the initial application, and all final reports.	Destroy in office 5 years after promissory note is released to client or lender.*	24 CFR 85.42 24 CFR 570.502(a)(16) 24 CFR 84.53(b) 24 CFR 570.502(b)(3)
9.	<b>COMPREHENSIVE LAND USE PLAN AND AMENDMENTS</b> Includes, but is not limited to, official copy of comprehensive land use plan and all background surveys, studies, reports, and draft versions of plans.	a) Retain in office permanently adopted plan and amendments.  b) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan.	
10.	<b>CONDITIONAL USE PERMIT RECORDS AND INDEX</b> Records concerning applications for conditional use permits. Permits allow for the construction of buildings, on the condition that impacts on neighborhoods are mitigated. May include original application, blueprint drawings, investigative reports, planning commission recommendations, cash receipts, and related correspondence, including email. Includes sign permits and temporary use permits. Also includes reference copies of variances or exceptions from zoning regulations granted by the Board of Adjustment.	a) Destroy in office 3 years after discontinuance of use.  b) Destroy in office applications for which a permit was never issued when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
11.	<b>DECLARATIONS AND BY-LAWS FROM TOWNHOUSES, CONDOMINIUMS, PLANNED RESIDENTIAL DEVELOPMENTS, COMMON AREAS, ETC.</b>	a) If not filed in Register of Deeds or similar agency, retain in office permanently.  b) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	G.S. § 47C-2-103
12.	<b>EASEMENT RELEASE REQUEST FILE</b> Approved and denied easement release requests. Includes form letters, memos, reference copies of maps, and resolutions approved by the Planning Board.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
13.	<b>ENVIRONMENTAL IMPACT STUDIES</b> Records and reports concerning the environmental impact of major projects proposed by localities and reviewed by local officials.	Retain in office permanently.	
14.	<b>FEASIBILITY STUDIES</b>	Retain in office permanently.	
15.	<b>HOUSING REHABILITATION PROGRAM RECORDS</b>	Follow the disposition instructions for <a href="#">COMMUNITY DEVELOPMENT BLOCK GRANT RECORDS</a> , items 7-8, pages 88-89.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
16.	<b>MAPS, DRAWINGS, PLATS (OFFICIAL)</b> Official representation of comprehensive plan, and zoning boundaries established and/or enforced by the agency. May include blueprint maps, which show streets, property lines, zoning boundaries, and area classifications. Includes maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems.  See also <a href="#">GEOSPATIAL RECORDS</a> , page x.	Paper: Retain in office permanently.  GIS dataset: Create a snapshot of dataset annually. To maintain permanently,  <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> .	
17.	<b>MAPS, DRAWINGS, PLATS (REFERENCE)</b> Illustrations prepared or collected to capture background information on land use conditions for staff reference and public information.	Destroy in office when superseded or obsolete.	
18.	<b>MASTER SUMMARY (LOG OR REGISTER)</b> Maintained by planning agency to record receipt of planning or zoning reviews and projects, and to record subsequent action taken.	Retain in office permanently.	
19.	<b>OPEN SPACE CLASSIFICATION CASE FILE</b>	Retain in office permanently.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
20.	<b>ORTHOPHOTOGRAPHY</b> Historical and legacy aerial imagery.	a) Retain in office negatives permanently.  b) If negative is not available, retain in office photograph permanently.  c) Destroy in office photographs where negative is available when administrative value ends.† Agency Policy: Destroy in office after _____	
21.	<b>PERMITS: TEMPORARY MANUFACTURED HOME</b> Records created to temporarily authorize the location of a manufactured home on the same lot as a single family residence.	Destroy in office 6 years after permit expires.	G.S. § 1-50(5)
22.	<b>PERMITS: ZONING COMPLIANCE</b> For residential uses, non-residential uses, and accessory structures.	a) Retain in office permits concerning subdivision, historical structure, major commercial or industrial development, or capital construction, where county is lead agency, permanently.  b) Destroy in office permits concerning subdivision, historic structures, major commercial or industrial development, or capital construction, where county is not lead agency, 6 years after last entry.  c) Destroy in office any other permits and related records 6 years after last entry.	G.S. § 1-50(5)
23.	<b>PETITION &amp; REGULATION RECORDS</b>	Destroy in office after 5 years.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
24.	<p><b>PLANNING AND ZONING BOARD MEETINGS</b> Agendas, minutes, and related materials pertaining to meetings of the Planning and Zoning Board.</p> <p>See the <a href="#">Microfilm</a> section on page xi for instructions on microfilming.</p>	<p>a) The official minutes of the governing board and its subsidiary boards are permanent records.</p> <p>b) The official minutes of advisory boards may be destroyed only upon approval by the State Archives of North Carolina. The State Archives reserves the right to designate the minutes of any advisory board as permanent.</p> <p>c) Minutes of committees or subcommittees may be destroyed when administrative value ends, if the minutes or actions and decisions of the committee are entered as part of the minutes of the parent board. If minutes or actions and decisions of the committee or subcommittee in question are not entered as part of the minutes of the parent board, the State Archives reserves the right to designate the minutes as permanent.† Agency Policy: Destroy in office after _____</p>	
25.	<p><b>PLANNING AND ZONING STUDIES</b> Studies, plans, and reports of the planning and zoning department, board, or commission. Records are used as background information for reports, ordinances, resolutions, etc.</p> <p>See also <a href="#">COMPREHENSIVE PLAN</a> item 16, page 3.</p>	<p>a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____</p> <p>b) If not an element of the Comprehensive Plan, retain in office permanently.</p> <p>c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.</p>	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>PLANNING REVIEW CASE FILE</b> For required review of site plan, zoning variance, special permit, change of zoning, subdivision creation or enlargement, county planning action, or other required review; including, but not limited to, maps, plans, sketches, photographs, engineering reports, environmental impact statement and studies, copies of zoning records, project narrative, correspondence, including email, and record of final determination.	a) Retain plan reviews and related records containing subdivision, historical structure, major commercial or industrial development, or capital construction, where county is lead agency, permanently.  b) Destroy in office plan reviews and related records containing subdivision, historic structures, major commercial or industrial development, or capital construction, where county is not lead agency, 6 years after last entry.  c) Destroy in office any other mandatory reviews and related records 6 years after last entry.	G.S. § 1-50(c)
27.	<b>PRELIMINARY SUBDIVISION AND GROUP DEVELOPMENT SITE PLANS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
28.	<b>REDEVELOPMENT PLANNING RECORDS</b>  See also <a href="#">COMPREHENSIVE PLAN</a> item 16, page 3.	a) If an element of the Comprehensive Plan, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____  b) If not an element of the Comprehensive Plan, retain in office permanently.  c) Destroy in office background surveys, studies, reports, and drafts 3 years after adoption of plan, or when superseded or obsolete, whichever comes first.	
29.	<b>REFERRED PROJECTS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
30.	<b>REZONING RECORDS AND INDEXES</b> Records concerning applications to rezone property within the county. May include original applications, review forms, maps of areas involved, copies of investigative reports, copies of planning board minutes, notices of hearings, development agreements, copies of ordinances, and copies of county board of commissioners minutes.	Retain in office permanently.	
31.	<b>STREET NAMES AND CHANGES OF STREET NAMES FILE</b> Records concerning the names and addresses of streets and roads retained for administrative purposes.	Destroy in office when superseded or obsolete.	
32.	<b>SUBDIVISION RECORDS</b> Includes maps, plats, topographical data, names of streets, records of public utilities, action by council, etc.  See also <a href="#">MAPS: ALL OTHER</a> item 15, page 56.	a) If not filed in Register of Deeds or similar agency, retain in office permanently.  b) If filed in Register of Deeds or similar agency, destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
33.	<b>VARIANCES</b>	Retain official copies permanently in the minutes of the Planning Board.	
34.	<b>VIOLATIONS: ZONING</b>  See also <a href="#">CORRESPONDENCE (LEGAL)</a> item 7, page 64.	Destroy in office after 6 years.*	G.S. § 1-50(5)

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-12: PLANNING AND ZONING RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
35.	<b>ZONING ORDINANCES AND AMENDMENTS</b> Ordinances and amendments adopted by the zoning board.	Retain in office permanently.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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**STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS.**

Records received and created by area transit systems and authorities necessary to meet all statutory requirements.

*Comply with requirements of the Federal Transit Administration's **Best Practice Procurement Manual**, Master Agreement MA(11) Section 8 manual, and 49 CFR 18 regarding retention, access, security, and confidentiality of records where applicable.*

ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ACCREDITATION RECORDS</b> Records concerning compliance with standards outlined by accreditation programs.	Destroy in office 1 year after superseded.*	
2.	<b>AGENCY LOGS (SHEETS)</b> Records concerning individual agency ridership.	Destroy in office after 3 years.*	49 CFR 18.42
3.	<b>AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT RECORDS</b> Includes driver's daily assignments, dispatch records, logs of passenger pick-ups and drop-offs, manifests, trip requests, and appeal forms.	Destroy in office after 5 years.*	49 CFR 18.42
4.	<b>AMERICANS WITH DISABILITIES ACT (ADA) PARATRANSIT VOUCHERS</b> Vouchers submitted by private transportation companies for reimbursement for alternative transportation of public transit clients.	Destroy in office after 5 years.*	49 CFR 18.42
5.	<b>AMERICANS WITH DISABILITIES ACT (ADA) PRE-TRIP INSPECTION FORMS</b>	Destroy in office after 1 year.	49 CFR 18.42

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
6.	<b>APPLICATIONS FOR ART-IN-TRANSIT</b> Applications and supporting documentation submitted by regional and national artists for exhibit on agency property.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
7.	<b>APPLICATIONS FOR AWARDS</b> Applications and supporting documentation used to apply for various public and private awards.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
8.	<b>APPLICATIONS FOR DISCOUNT PASSES</b> Applications, certificates of disability, and supporting documentation used to apply for discount passes.	Destroy in office 3 years after service is terminated or denied.	
9.	<b>APPLICATIONS FOR TRANSIT SERVICE</b> Includes customer applications, eligibility assessment records, correspondence, including email, health information, riders' guides, and related records.	Destroy in office 3 years after service is terminated or denied.	
10.	<b>CALL IN LOGS (SHEETS)</b> Record concerning on-demand service requests.	Destroy in office after 5 years.*	49 CFR 18.42
11.	<b>CUSTOMER (RIDER) ALERTS</b> Records alerting customers of changes in regular service (e.g. detours, festivals, parades, etc.).	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
12.	<b>CUSTOMER (RIDER) IDENTIFICATION RECORDS</b> Records concerning customer identification, approvals, denials, and related information.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
13.	<b>DISADVANTAGED BUSINESS ENTERPRISE (DBE) RECORDS</b> Includes company's articles of incorporation, financial statements, signed affidavits, letters of reference, declarations, Federal Schedule A or B, and related correspondence, including email.	a) Destroy in office company-specific records 5 years after company is removed from certified list.  b) Destroy in office related DBE program records, including Federal Transit Administration reports, 5 years from date record was created.	49 CFR 26
14.	<b>DISPATCH RECORDS</b> Reports, logs, and similar records used to document dispatch activities.	Destroy in office after 5 years.	49 CFR 18.42
15.	<b>LOST AND FOUND RECORDS</b> Logs, sheets, and similar records documenting items recovered from agency facilities and vehicles. May include customer receipts for claimed items.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
16.	<b>NATIONAL TRANSIT DATABASE (NTD) REPORT</b> Annual report submitted to the Federal Transit Administration and used as the basis for calculating each system's funding. May include records (data) used to generate reports regardless of format.	Destroy in office 5 years.*	49 CFR 18.42
17.	<b>OPERATOR BID RECORDS</b> Cards, sheets, and similar records documenting operators' route selections and choice for a service period.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
18.	<b>OPERATOR SHIFT INSPECTION RECORDS</b> Reports and similar records of operator's inspections of vehicle at the beginning and end of shift.	Destroy in office after 5 years.	49 CFR 18.42

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
19.	<b>RADIO DISPATCH RECORDINGS AND LOGS</b> Recordings and logs of dispatch messages to and from transit operators.	Destroy in office after 90 days.*	
20.	<b>RIDERSHIP REPORTS</b> Includes shuttle logs concerning regularly scheduled individual ridership.	Destroy in office after 5 years.	49 CFR 18.42
21.	<b>ROUTE HISTORY RECORDS</b> Includes descriptions of routes, bus stops, passenger lists, and other related records.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
22.	<b>ROUTE MAINTENANCE RECORDS</b> Logs, sheets, and related records used to record needed road improvements.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
23.	<b>SAFETY CERTIFICATIONS</b> Records verifying that system elements such as vehicles, trolley and train cars, tracks, station components, and operating procedures comply with safety requirements.	Retain in office for life of structure or vehicle.	
24.	<b>SEAT BELT AND RESTRAINT SYSTEM RECORDS</b> Records concerning the use and installation of seat belts and other restraint systems in vehicles.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
25.	<b>SERVICE PERFORMANCE RECORDS</b> Records concerning quality control performance checks conducted on agency staff, contractors, and vendors.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
26.	<b>SERVICE PLANNING AND DEVELOPMENT RECORDS</b> Includes records concerning changes in routes and transportation services offered by the agency.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 3 years after records were created or project ends, whichever occurs later.	
27.	<b>SHELTER RECORDS</b> Includes adopt a shelter program records, listings of shelter sites, site permission for right of way, easements, and related documentation.	a) Retain in office shelter blueprints for life of structure. b) Destroy in office remaining records when administrative value ends, or when site is no longer used.† Agency Policy: Destroy in office after _____	
28.	<b>TERMINAL DISPATCH RECORDS</b> Reports, logs, and similar records used to track daily terminal operations and activities.	Destroy in office after 1 year.	
29.	<b>TICKET CONSIGNMENT RECORDS</b> Logs, notebooks, and related records used to track tickets and passes provided to customers.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
30.	<b>TRIP REQUESTS</b> Passenger trip requests.	Destroy in office after 5 years.	49 CFR 18.42
31.	<b>TRANSIT SCHEDULES</b> Printed route schedules and related information used to generate schedules.	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	
32.	<b>TRANSPORTATION SYSTEM OPERATIONS REPORTS</b> Reports and supporting records summarizing transit system operations.	Destroy in office after 5 years.	49 CFR 18.42

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
33.	<b>TRANSPORTATION SYSTEM SERVICE PERFORMANCE EVALUATIONS</b>	Destroy in office after 1 year.	
34.	<b>TRANSPORTATION SYSTEM STATISTICAL RECORDS</b> Reports and supporting records showing passenger trips, mileage, service hours, on-time performance, missed and/or late trips, road call, ridership, and similar statistical information.	a) Retain in office records with historical value permanently. b) Destroy in office remaining records 5 years after records were created or project ends, whichever is later.	49 CFR 18.42
35.	<b>VANPOOL DRIVER APPLICATIONS</b> Applications and supporting records submitted by persons operating vanpool vehicles.	a) Destroy in office accepted applications 3 years after person leaves program. b) Destroy in office applications for persons not accepted for program after 1 year.	
36.	<b>VANPOOL MONTHLY USAGE REPORTS</b> Includes logs, sheets, reports and similar records documenting starting and ending mileage, total miles driven, route locations, passenger rosters, and similar information.	Destroy in office after 5 years.	49 CFR 18.42
37.	<b>VEHICLE BREAKDOWN RECORDS</b> Reports and similar records documenting response time, location, vehicle identification, and similar information.  See also <a href="#">WORK ORDERS</a> item 62, page 14.	Destroy in office after 1 year.	
38.	<b>VEHICLE OPERATOR INSTRUCTIONS</b>	Destroy in office when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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

ITEM #	STANDARD-14. PUBLIC TRANSPORTATION SYSTEMS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
39.	<b>VEHICLE USAGE LOGS (SHEETS)</b> Includes date vehicle was used, pick-up and delivery locations, starting and ending mileage, total miles driven, and signature of driver.	Destroy in office after 1 year.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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**STANDARD-15. PUBLIC UTILITIES AND WASTE MANAGEMENT RECORDS**

Official records and materials created and accumulated for use by county sanitation, water, sewage, electrical, and gas operations.

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
1.	<b>ABANDONED UTILITY LINE RECORDS</b> Records documenting the location of abandoned utility lines.	Retain in office until abandoned line is removed.	
2.	<b>ANNUAL REPORTS (UTILITIES)</b> Reports sent to the Federal regulatory agency including annual reports, power system statements, and gas reports.	Destroy in office after 5 years.	
3.	<b>CABLE TELEVISION FRANCHISE RECORDS</b> Includes contracts, agreements, and notice of franchise.	a) Retain in office contracts, agreements, and notice of franchise for life of the franchise.  b) Destroy in office remaining records when administrative value ends. <sup>†</sup> Agency Policy: Destroy in office after _____	G.S. §66-350(4)

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), page vi.

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

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
4.	<b>CUSTOMER FINANCIAL RECORDS</b> Billing and receipt records concerning customer accounts. Includes billing adjustment records.	a) Destroy in office utility bills and receipts after 3 years.* b) Destroy in office copies of notices of unpaid bills after payment or deemed uncollectable. c) Destroy in office customer deposit records and direct draft authorizations 3 years after account is closed. d) Destroy in office customer account histories when administrative value ends. † Agency Policy: Destroy in office after _____	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.
5.	<b>CUSTOMER USAGE RECORDS</b> Includes reports, plans, or similar records submitted by industrial users, or publicly-owned treatment works concerning intended or actual use of the system.	Destroy in office after 3 years.*	40 CFR 403.12(o)(3)
6.	<b>CUSTOMER WORK ORDERS</b> Includes service orders such as to connect and disconnect service or other maintenance functions.	Destroy in office 1 year after completion of work.	
7.	<b>LANDLORD AGREEMENTS</b> Agreements to automatically transfer utility accounts to landlords when their tenant vacates a property.	Destroy in office after 3 years.*	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.



ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
8.	<b>MAPS (UTILITY INSTALLATIONS &amp; DISTRIBUTIONS)</b> Includes maps, plats, charts, and similar records showing the location of water mains, valves, hydrants, meters, lines, etc., throughout the system.  See also <a href="#">GEOSPATIAL RECORDS</a> , page x.	Paper: Retain in office for life of system.  GIS dataset: Records 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> .	
9.	<b>METER RECORDS (ELECTRIC, WATER, GAS)</b> Includes meter reading records showing consumer consumption, and records concerning installation, testing, and calibration of devices.	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 remaining records after 3 years.*	
10.	<b>NOTICE TO PROPERTY OWNERS OF APPROVAL OF WATER UTILITY INSTALLATION</b>	Destroy in office after 2 years.	
11.	<b>OUTSIDE WASTE CLEARANCE RECORDS</b> Records allowing parties outside the county's jurisdiction to dispose of waste at landfill.	Destroy in office 3 years after expiration of agreement.	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
12.	<b>PRETREATMENT PROGRAM RECORDS</b> Includes annual pretreatment reports, records of monitoring activities and results, water quality records, and other related documentation.	a) Destroy in office permits and supporting documentation 5 years after expiration, cancellation, revocation, or denial.*  b) Destroy in office remaining records after 3 years.*	15A NCAC 02H .0908(f)(1)  40 CFR 503.17
13.	<b>PUBLIC UTILITIES SYSTEM ENGINEERING, MAINTENANCE, AND REPAIR RECORDS</b> Includes records documenting installation, authorizations to construct, building plans, location, specifications, and maintenance history, for hydrants, pipes, pumps, valves, and similar system equipment. Includes drainage system maintenance and repair records.	a) Retain in office as built plans and specifications permanently.  b) Destroy in office 3 years after equipment is no longer owned and/or operational if like replacement occurred.  c) Destroy in office 5 years after equipment is no longer owned and/or operational if unlike replacement occurred.  d) Destroy in office background surveys, studies, reports, drafts, and other records when superseded or obsolete.	Comply with applicable provisions of G.S. §132-1.7 regarding confidentiality of detailed drawings of infrastructure facilities.  15A NCAC 18C .0300 and 2H .0115
14.	<b>REPORTS: RECYCLING TONNAGE</b> Records documenting tonnage of materials collected at curb and dropped off at recycling centers.	Destroy in office after 3 years.	
15.	<b>SANITARY SURVEY RECORDS</b> Includes reports, summaries, studies, correspondence, including email, and other related records documenting the sanitary condition of system.	Destroy in office 10 years after completion of survey.*	40 CFR 141.33(c)  15A NCAC 18C .1526
16.	<b>SCALE HOUSE VIDEO MONITORING RECORDINGS</b>	Destroy in office when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
17.	<b>SERVICE AGREEMENTS</b> Includes liquefied natural gas, electric, sewage, water and wastewater, and drainage maintenance agreements.	Destroy in office 3 years after termination or expiration.*	
18.	<b>SERVICE INTERRUPTION RECORDS</b> Includes reports, logs, or similar records documenting service interruptions.	Destroy in office after 3 years.*	
19.	<b>SEWER JETTING AND VECTORING RECORDS</b> Records documenting the routine cleaning of wastewater lines.	Destroy in office after 3 years.	
20.	<b>SLUDGE TREATMENT RECORDS</b> Includes analyses, certification statements, site restrictions, monitoring records, vector attraction reduction requirements, trip tickets, residual records, control plans, and other related documentation.	Destroy in office after 5 years.*	40 CFR 503.17
21.	<b>SOLID WASTE CONVENIENCE CENTER FILE</b> Annual reports to the Department of Environment & Natural Resources – Division of Pollution Prevention & Environmental Assistance.	Destroy in office after the 5 year reporting period is complete.	
22.	<b>SOLID WASTE SERVICE FILE</b> Includes requests for service, billing records, and payment records.	Destroy in office after 3 years.*	Comply with applicable provisions of G.S. §132-1.1(c) regarding confidentiality of public enterprise billing information.

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction “destroy when administrative value ends.” Please use the space provided.

ITEM #	STANDARD-15: PUBLIC UTILITIES RECORDS		
	RECORD SERIES TITLE	DISPOSITION INSTRUCTIONS	CITATION
23.	<b>TAP AND HOOK UP RECORDS</b> Applications, permits, contracts, logs, or similar records documenting location and installation of water and wastewater hookup and taps.	a) Destroy in office permits and contracts 3 years after termination or cancellation.*  b) Destroy in office denied applications and remaining records when administrative value ends.† Agency Policy: Destroy in office after _____	

\*See [AUDITS, LITIGATION, AND OTHER OFFICIAL ACTIONS](#), 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 Cultural Resources has scheduled with the disposition instruction "destroy when administrative value ends." Please use the space provided.

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**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**

- |   |                       |            |                   |
|---|-----------------------|------------|-------------------|
| <input type="checkbox"/> Add a new item             | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Delete an existing item    | Standard Number _____ | Page _____ | Item Number _____ |
| <input type="checkbox"/> Change an retention period | 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

## REQUEST FOR DISPOSAL OF UNSCHEDULED RECORDS

**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 \_\_\_\_\_

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

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

Approved by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
Signature (Requestor's supervisor) Date

Concurred by: \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(except as indicated) Signature Assistant Records Administrator State Archives of North Carolina Date

**Certification of the Preparation of Records for Microfilming**

*Name of the county, municipality, or other public body that produced these records:*

Examples: [City of Raleigh] [Martin County] [Triangle Transit Authority] [High Country Council of Governments]

*Name of the board, council, department, or agency:*

Examples: [City Council] [Board of Commissioners] [ABC Commission] [Board of Delegates]

*The records included with this form are:*

- ☐ Minutes  
☐ Ordinances  
☐ Resolutions

- ☐ Attachments or Exhibits  
☐ Indexes  
☐ Other: \_\_\_\_\_

*Exact first and last dates of the records:*

Examples: [10/2/1998 – 12/23/2002] [1/12/2006 – 12/13/2007, in reverse order]

**NOTE: Please describe any irregularities (e.g. missing minutes, infrequent meetings) in a separate letter.**

*Volume and page numbers included:*

Examples: [v. 112 (p. 258-492) – 113 (p. 1-122)] [Books 23-27] [Pages 11873 – 13982] [v. 43, continuous]

The last volume listed is complete:

☐ Yes ☐ No

Do you want to purchase a copy of the film, at an additional charge?

☐ Yes ☐ No

Do you want to purchase a CD of the images, at an additional charge?

☐ Yes ☐ No

Do you want to be informed when this shipment is received?

☐ Yes ☐ No

Do you want to be informed when the microfilming has been completed?

☐ Yes ☐ No

☐ We have examined these records for accuracy and completeness. We have prepared these records according to the rules of the Government Records Branch of the Department of Cultural Resources. We understand that the records will be filmed in the order we have submitted them.

☐ **We understand that there will be a charge for each new reel of film used for our records, beginning July 1, 2008.**

Contact information:

Billing address:

Name: \_\_\_\_\_

\_\_\_\_\_

Email: \_\_\_\_\_

\_\_\_\_\_

Phone: \_\_\_\_\_

\_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

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