

DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
ASSISTANT SECRETARY FOR ENVIRONMENTAL PROTECTION
DIVISION OF AIR QUALITY
BUSINESS OFFICE

Program Records Retention and Disposition Schedule

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

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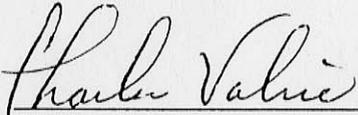
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. 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 or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

BUSINESS OFFICE

agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

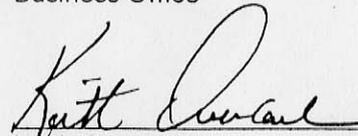
APPROVAL RECOMMENDED



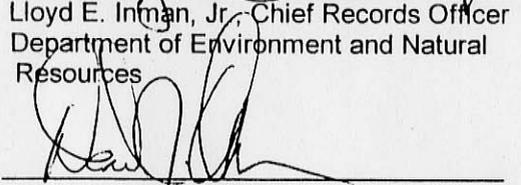
Charles Valrie, Head
Business Office



Lloyd E. Inman, Jr., Chief Records Officer
Department of Environment and Natural
Resources

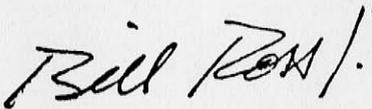


Keith Overcash, Director
Division of Air Quality

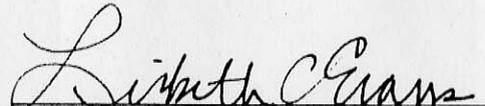


David J. Olson, Director
Division of Historical Resources

APPROVED



William G. Ross, Jr., Secretary
Department of Environment and Natural
Resources



Lisbeth C. Evans, Secretary
Department of Cultural Resources

October 31, 2002

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**DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES
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BUSINESS OFFICE**

BUDGET

Item 44383. AIR PERMIT FEE PROGRAM FILE. Records concerning the processing of invoices for air permit fees. File includes invoices, correspondence to and from facilities, memorandums authorizing the revocation of permits, and other related records. Permit numbers, permit rescission dates, permit revocation dates, and other related data are entered into the Air Permit Fee Program Database (Electronic) File (Item 44384) and routinely updated.

DISPOSITION INSTRUCTIONS: Destroy in office invoices after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office remaining records after 3 years.

Item 44384. AIR PERMIT FEE PROGRAM DATABASE (ELECTRONIC) FILE. Electronic records concerning the processing of invoices for air permit fees. Electronic file includes permit numbers, permit rescission dates, permit revocation dates, and other related data. (File maintenance and backup procedures are conducted by Information Technology Services (ITS).)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 44385. AIR PERMIT FEE PROGRAM (PRINTOUTS) FILE. Computer generated printouts concerning fees owed by regulated facilities. Printouts list facilities' names, permit numbers, current and overdue fees owed, exemption status, and other related data. (Printouts are generated from Air Permit Fee Program Database (Electronic) File, Item 44384.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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BUDGET

Item 44393. GRANTS FILE. Records in paper and electronic formats concerning state and federal grants for all sections of the division. File includes grant applications, grant awards, correspondence, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats 5 years after completion of grant if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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HUMAN RESOURCES

Item 44407. APPLICATIONS FOR EMPLOYMENT FILE. Completed applications for employment with resumes and other supporting documentation. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer applications and other records for individuals hired to Personnel (Active) File (Item 44418) when individual accepts position. Destroy in office applications and other records that are unsolicited and for 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.

Item 44408. BENEFITS REFERENCE FILE. Records in paper and electronic formats concerning health care and other benefits offered to agency employees. File includes publications, memorandums, correspondence, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats when superseded or obsolete.

Item 44409. DISCIPLINARY ACTIONS FILE. Records in paper and electronic formats concerning disciplinary actions taken against employees of the division. File includes disciplinary action forms, written warnings, memorandums, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.) (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 3 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 44414. MONTHLY LEAVE (PRINTOUTS) FILE. Computer generated printouts listing accounting fund codes; employees' names, position numbers, and social security numbers; leave earned and taken; and other related information. (Comply with applicable provisions of G.S. 126-22 regarding the confidentiality of personnel records. Comply with applicable provisions of 5 U.S.C. Sec. 552a regarding the confidentiality of social security numbers.)

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

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HUMAN RESOURCES

Item 44415. MONTHLY MANAGEMENT INFORMATION SYSTEM (MIS) (PRINTOUTS) FILE.

Computer generated records listing accounting fund codes, activity codes, and other related information. (Printouts are generated from the Department of Environment and Natural Resources, Division of Human Resources.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 44418. PERSONNEL (ACTIVE) FILE. Original and reference copies of records concerning office's employees. File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to Personnel (Inactive) File (Item 44419) when employee terminates service.

Item 44419. PERSONNEL (INACTIVE) FILE. Original and reference copies of records concerning former Division of Air Quality personnel. File includes applications, resumes, personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.

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SAFETY OFFICE

Item 44411. HEALTH RECOMMENDATION FORMS FILE. Forms concerning medical authorizations for employees to work with or near hazardous materials. (Comply with applicable provisions of 29 CFR 1910.1020 regarding the maintenance of Occupational and Health Administration (OSHA) records. Comply with applicable provisions of G.S. 131E-97 regarding the confidentiality of medical records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years. Records will be held for agency in the State Records Center 25 additional years and then destroyed.

Item 44412. INDUSTRIAL HYGIENE MONITORING FILE. Records concerning the evaluation of industrial exposure to noise or chemical substances. File includes evaluation forms, correspondence, and other related records. (Comply with applicable provisions of 29 CFR 1910.1020 regarding the maintenance and confidentiality of medical records.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years. Records will be held for agency in the State Records Center 25 additional years and then destroyed.

Item 44422. SAFETY EQUIPMENT FILE. Reference copies of records in paper and electronic formats concerning the purchase and distribution of safety equipment. File includes invoices, distribution lists, memorandums, and other related records. (File maintenance and backup procedures conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Destroy in office records in paper and electronic formats after 1 year.

