

DEPARTMENT OF HUMAN RESOURCES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES

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 of the

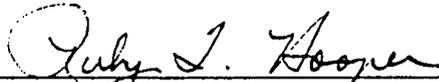
PERSONNEL MANAGEMENT SERVICES

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 machine readable records not listed in this schedule are not authorized to be destroyed. The

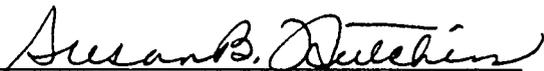
PERSONNEL MANAGEMENT SERVICES

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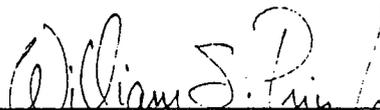
APPROVAL RECOMMENDED



Ruby T. Hooper, Chief Records Officer
Department of Human Resources



Susan B. Hutchins, Director
Personnel Management Services



William S. Price, Jr., Director
Division of Archives and History

APPROVED



David T. Flaherty, Secretary
Department of Human Resources



Patric Dorsey, Secretary
Department of Cultural Resources

June 21, 1989

JH

DEPARTMENT OF HUMAN RESOURCES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES

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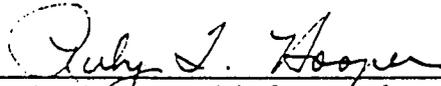
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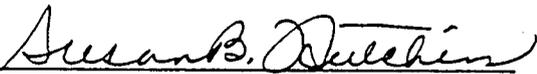
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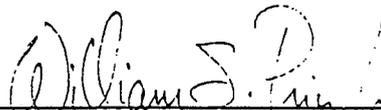
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Ruby T. Hooper, Chief Records Officer
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Personnel Management Services

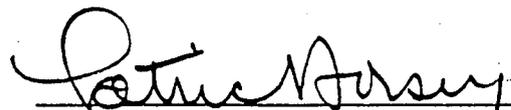


William S. Price, Jr., Director
Division of Archives and History

APPROVED



David T. Flaherty, Secretary
Department of Human Resources



Patric Dorsey, Secretary
Department of Cultural Resources

June 21, 1989

**This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.**

JH

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Records Retention and Disposition Schedule

Organizational Name Change

An organizational name change to this Records Retention and Disposition Schedule is hereby approved. The Records Retention and Disposition Schedule reflects an organizational change from **Department of Human Resources to Department of Health and Human Services**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in the most recent schedules of the Department of Human Resources. 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

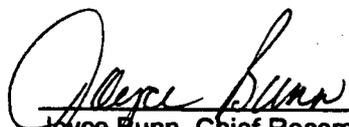
DEPARTMENT OF HEALTH AND HUMAN SERVICES

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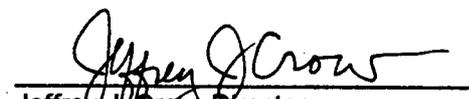
DEPARTMENT OF HEALTH AND HUMAN SERVICES

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APPROVAL RECOMMENDED

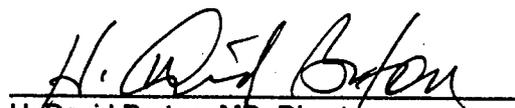


Joyce Bunn, Chief Records Officer
Department of Health and Human
Services

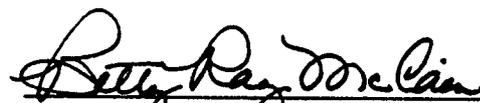


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



H. David Bruton, MD, Director
Department of Health and Human
Services



Betty Ray McCain, Secretary
Department of Cultural Resources

July 1, 1997

MS

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
CONSOLIDATED REGIONAL OFFICES**

ITEM 16914. AFFIRMATIVE ACTION PROGRAMS FILE.

Employment data used in establishing affirmative action plans.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

ITEM 16915. REGIONAL OFFICES' OPERATING MANUAL FILE.

Rules and regulations concerning regional offices' operations.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16916. DISTRIBUTION MANUAL FILE.

Records concerning dissemination of information regarding pay plans and manuals.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16917. DEPARTMENT OF HUMAN RESOURCES (DHR) DIRECTIVES FILE.

Records used to implement policies and procedures of DHR. File concerns policy interpretations.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16918. PERSONNEL MEMORANDUMS FILE.

Records concerning policies/procedures established by the Office of State Personnel.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16919. COUNTY GOVERNMENT PERSONNEL POLICIES/PROCEDURES FILE.

Adopted county personnel policies and procedures approved by the State Personnel Commission and Office of State Personnel.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16920. STATE PERSONNEL ACT FILE.

Regulations and rules manuals concerning local competitive agencies.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16921. OFFICE OF STATE PERSONNEL MANUAL FILE.

Policies, regulations and procedures of the Office of State Personnel which apply to all covered employees.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16922. LOCAL AGENCIES AND DIVISION CORRESPONDENCE FILE.

Correspondence between competitive agencies and divisions of Personnel Management Services.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16923. ADMINISTRATIVE AND MANAGEMENT FILE.

Records concerning the administration and management of Consolidated Regional Offices. File includes or concerns activities data reports, alternate qualifications, appeals, associations, audit exceptions, benchmark correspondence, competitive service activity reports, contractual information, delegation of authority, exceptions to policy, fiscal sanctions, grandfathered actions, intern data, personnel data, law and legal records, and lease data. File also includes information regarding meetings and conferences, organizational charts, out-of-compliance situation records, personnel program reviews, policies, records management, salary and wage administration records, State Personnel Act information, work planning and performance review records, and workshop training data.

DISPOSITION INSTRUCTIONS: Destroy in office contractual and lease records 3 years after termination. Destroy in office remaining records when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
CONSOLIDATED REGIONAL OFFICES**

ITEM 16924. ADMINISTRATIVE CORRESPONDENCE FILE.

Subject files concerning administration and management, finance and budget, personnel and programs, publications, and various other related subjects.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 16925. MEMORANDUMS FOR THE RECORD FILE.

Memorandums received from the Department of Human Resources Personnel Office.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 16926. PERSONNEL SUBJECT FILE.

Records concerning personnel matters. File includes or concerns affirmative action, centralized applicant referral system, classification, employee relations, employment, grievances, insurance, leave policy, longevity, and vacations.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 16927. PERSONNEL FILES TRANSFERRED TO OTHER REGIONAL OFFICES FILE.

Forms used in regional offices to track personnel files transferred to other regional offices. Each form includes the following information: name of employee, social security number, agency previously employing individual, date file was sent to other regional office, and name of regional office which received file. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-23 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

ITEM 16928. PROBATIONARY TO PERMANENT STATUS FILE.

Cards listing each employee's name, agency, position number, classification, appointment date, and date employee's position may be made permanent.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office immediately.

ITEM 16930. LOG BOOKS - POSITIONS/PAY ACTION FILE.

Records concerning receipts of completed personnel action forms (Form PD 118, Form PD 100, and Form PD 119).

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 16938. CLASSIFICATION STUDY FILE.

Records generated during the analytical study and implementation phases of Department of Human Resources statewide or regional classification studies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16939. CLASSIFICATION AND SALARY RANGE ACTIONS FILE.

Classification and salary range actions approved by the State Personnel Commission.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16940. RESTUDY LOG FILE.

Records concerning positions restudied received from local agencies in the region. Information for each restudy lists or concerns date sent, agency, classifications, position's number, analyst, date of receipt of PD 102 forms, and actions taken.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
CONSOLIDATED REGIONAL OFFICES**

ITEM 16941. RESTUDY FLAG FILE.

Cards concerning positions restudied. Each card lists name of agency, position number, class approved, effective date, restudy date, and action taken.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16942. ALLOCATION LIST FILE.

Records listing classification titles, position numbers, and names of incumbents in job positions.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16943. CLASS SPECIFICATION FILE.

Records concerning job descriptions for active classifications.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 16944. BENCHMARKS AND COMPARISONS FILE.

Records concerning selected job descriptions, analyst notes, and other documentation used in making comparisons for classification decisions.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16945. PD-102 REVIEW LOG FILE.

Records listing PD-102s received within the region from local agencies. Information concerning each review includes date received by agency, position action, update, class/review, class/study, classification, and position number.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16946. LOCAL COMPETITIVE AGENCIES POSITION HISTORY FILE.

Position history records which include PD 118 forms, job descriptions, allocation listings, and miscellaneous correspondence. File includes records concerning positions now under county personnel control as authorized by G.S. 126-11.

DISPOSITION INSTRUCTIONS: Destroy in office when position is abolished or when reference value ends, whichever occurs later.

ITEM 16947. POSITION CONTROL LOGS/CODE BOOK FILE.

Records used to assign and maintain position numbers. (System is used by local competitive agencies.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16948. POSITION CONTROL CARDS FILE.

Inventories of positions established by county competitive agencies.

DISPOSITION INSTRUCTIONS: Transfer to Abolished Position Control Cards File when position is abolished.

ITEM 16949. ABOLISHED POSITION CONTROL CARDS FILE.

Inventories of positions abolished by county competitive agencies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 16950. PUBLICATIONS FILE.

Publications received by Consolidated Regional Offices. Publications include FEDERAL REGISTER, GRASS ROOTS, PERSONNEL ADVISORY BULLETIN, PERSONNEL REVIEW, and WORKING FOR NORTH CAROLINA.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
CONSOLIDATED REGIONAL OFFICES**

ITEM 16951. STATE PAY PLAN FILE.

Records concerning salaries paid to different classifications within the state according to salary grades and steps.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM 16952. COORDINATING COUNCIL MEETING FILE.

Records concerning meetings of the Coordinating Council of Government. File includes reference copies of minutes of meetings and instruction and action records.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 16953. COUNTY PAY PLANS FILE.

Records concerning county pay plans approved by the State Personnel Commission.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
DIRECTOR'S OFFICE**

ITEM 1609. CORRESPONDENCE FILE.

Correspondence concerning divisions within Department of Human Resources and other state agencies. File includes correspondence between the Director's Office and Personnel Management Services Section, as well as correspondence regarding meetings.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 16894. RESOURCE FILE.

Reference copies of publications used for reference by the Personnel Management Services (PMS) staff. File includes organization charts of the divisions, institutions, and central offices of PMS, and information regarding the reorganization of PMS.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16895. LEGISLATIVE/LEGAL FILE.

Records concerning legislative actions affecting Personnel Management Services (PMS). File includes ratified bills affecting PMS.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 16897. QUARTERLY ACTIVITIES REPORT FILE.

Reports prepared by the Personnel Management Services (PMS) concerning personnel actions within PMS. File includes composite reports compiled from section and regional reports.

DISPOSITION INSTRUCTIONS: Destroy in office individual reports after 1 year. Destroy in office composite reports when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
POSITION MANAGEMENT/PAY SECTION**

ITEM 16901. REGION FILE.

Correspondence and memorandums between Position Management/Pay Section and regional personnel staff concerning position management and salary administration for local agencies. File includes forms PD-100 for approval that are exceptions to established policy and pay regulations, forms PD-118 and supporting documentation for establishing and reallocating local agency positions, and correspondence and memorandums concerning review of classification decisions.

DISPOSITION INSTRUCTIONS: Destroy in office review of classification decisions when administrative value ends. Destroy in office remaining records after 4 years.

ITEM 16902. INSTITUTION FILE.

Reference copies of correspondence and memorandums between Personnel Management Services and Position Management/Pay Section and institutions within the department concerning position management and salary administration. File includes correspondence and/or forms PD-105 for approval that are exceptions to established policy and pay regulations, forms PD-118 and supporting documentation for establishing and reallocating positions in institutions, and correspondence and memorandums regarding review of classification decisions.

DISPOSITION INSTRUCTIONS: Destroy in office reviews of classification decisions when administrative value ends. Destroy in office remaining records after 4 years.

ITEM 16903. DIVISION FILE.

Correspondence and memorandums between Position Management/Pay Section and divisions within the department concerning position management and salary administration. File includes forms PD-105 for approval that are exceptions to established policy and pay regulations, forms PD-118 and supporting documentation for establishing and reallocating positions in divisions, and correspondence and memorandums regarding review of classification decisions.

DISPOSITION INSTRUCTIONS: Destroy in office reviews of classification decisions when administrative value ends. Destroy in office remaining records after 4 years.

ITEM 16904. SUBJECT FILE.

Correspondence and other records supporting activities of the section. File includes or concerns budget, law, legal, and meeting records; correspondence with the Secretary, other divisions, state agencies, Office of State Personnel, and Personnel Management Services; policies; program reviews; recruitment and staffing records; reports; salary administration records; workshop and training records; reference copies of State Personnel Commission's meeting records; delegations of authority; and standard operating procedures.

DISPOSITION INSTRUCTIONS: Destroy in office records concerning meetings, Office of the Secretary, other divisions and state agencies, Personnel Management Services, program reviews, and recruitment and staffing after 2 years. Destroy in office delegation of authority records 2 years after employee separates from state service. Destroy in office records concerning budget, Office of State Personnel correspondence, and reports after 4 years. Destroy in office records concerning State Personnel Commission meetings, workshops and training, legal matters, and salary administration when administrative value ends. Destroy in office standard operating procedures when superseded.

ITEM 16905. CLASSIFICATION FILE.

Correspondence, forms, and documentation concerning certain local classes that are used for comparison purposes and for monitoring problem areas of classification where there is no precedent or established guideline. File includes information for certain state classes where concepts have not been clearly defined.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
PERSONNEL MANAGEMENT SERVICES
POSITION MANAGEMENT/PAY SECTION**

ITEM 16906. CLASSIFICATION STUDIES FILE.

Classification studies, allocation lists, and correspondence and supporting documentation made in cooperation with the Office of State Personnel. File includes copies of salary surveys.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.