

DEPARTMENT OF ADMINISTRATION

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 Department of Natural and Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. The agency agrees to comply with 07 NCAC 04M .0510 when deciding on a method of destruction. Electronic records will be destroyed so that the data and metadata are overwritten, deleted, or unlinked in such a way that the records may not be practicably reconstructed. 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.

The Department of Administration 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 which allow them to be destroyed when "administrative/reference value ends." The Department of Administration hereby agrees that it will establish and enforce internal policies setting minimum retention periods for records with this disposition instruction. Without the establishment of internal policies, the agency is not authorized by the Department of Natural and Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Administration will be responsible for cost of microfilm production.

The Department of Administration 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 Department of Administration 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 and to make electronic records accessible for the period of time prescribed in this schedule. Where the method of recording information changes (for example, to an electronic system), the retention periods governing the records listed herein still apply, provided the records document the same agency function.

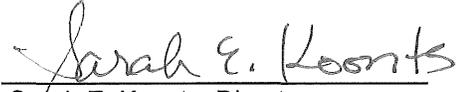
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated with specific retention periods in 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 Department of Administration agrees to destroy, transfer or dispose of records in the manner and the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

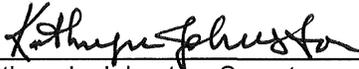


Lisa Lyons, Chief Records Officer
Department of Administration

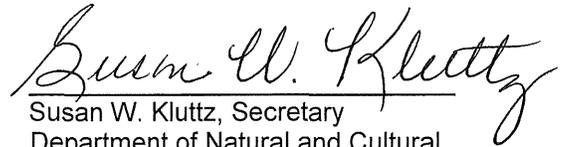


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED



Kathryn L. Johnston, Secretary
Department of Administration



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

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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.

The Department of Administration and the Department of Cultural Resources agree that certain records series have minimal administrative, reference, or historical value. When the custodian of any official State records certifies to the Department of Cultural Resources that such records have no further use or value for official and administrative business 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. As part of its program operations the Department of Administration agrees to establish and enforce internal policies. The policy will specify how long those records must be retained and when they must be destroyed.

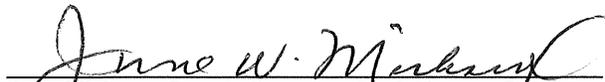
E-mail messages sent or received by Executive Branch agencies shall be retained for 10 years pursuant to Executive Order No. 18 (issued July 7, 2009 by Governor Beverly Perdue) and as set forth in G1 of the General Schedule for State Agency Records. Any E-mail messages requiring retention longer than 10 years, including those with permanent historical value, shall be designated with specific retention periods in this program records 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

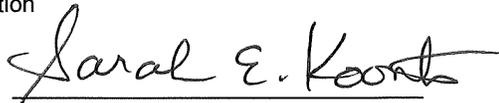
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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Michelle Baptiste, Chief Records Officer
Department of Administration


June Michaux, Deputy Secretary for Advocacy Programs
and Internal Services


Sarah E. Koonts, Director
Division of Archives and Records

APPROVED


Bill Daughtridge, Jr., Secretary
Department of Administration


Susan W. Kluttz, Secretary
Department of Cultural Resources

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ITEM 50206. GENERAL CORRESPONDENCE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence received and/or written in the office concerning daily operations and inquiries regarding victim verification. File may include reference copies of correspondence concerning inquiries received after June 30, 2014, deadline for claim submission. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records, including e-mail, to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50207. DIRECTOR'S CORRESPONDENCE FILE

Records in paper and electronic formats, including e-mail, concerning correspondence received and/or written in the office by the director. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records, including e-mail, to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately for immediate transfer to the custody of the Archives.

ITEM 50208. PHONE LOG FILE

Records in paper and electronic formats regarding phone inquiries concerning victim verification and currently verified victims. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50209. GOVERNOR'S TASK FORCE MINUTES FILE

Records concerning agendas and minutes of meetings for the Governor's Task Force to Determine the Method of Compensation for Victims of North Carolina's Eugenics Board. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center immediately. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50210. PENDING VERIFICATION FILE

Records concerning verification requests that are pending and under investigation. File includes completed verification forms, third-party verification forms, letters of administration, letters of testamentary, power of attorney letters, letters of appointment of guardian, and correspondence between the foundation and potential victims. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

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DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center immediately. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50211. VICTIM VERIFICATION REQUEST FILE

Records in paper and electronic formats concerning requests for victim verification. File includes request forms, correspondence between applicants and the foundation, and lists of monthly verification requests received. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50212. MATCHING VICTIMS FILE

Records in paper and electronic formats concerning victims verified by the foundation. File includes completed verification form, copy of victim's sterilization record, correspondence between victims and the foundation, lists of verified victims, and first tracking database. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: For files not subject to Session Law 2013-360, Session Laws of the General Assembly of North Carolina, 2013 Session: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. For files subject to Session Law 2013-360: Transfer records upon completion of processing to Department of Commerce, North Carolina Industrial Commission, Claims Unit, Eugenics Asexualization and Sterilization Compensation Program File (Item 50388) in compliance with G.S. 143B-426.52.

ITEM 50213. NO MATCH FILE

Records in paper and electronic formats concerning verification requests submitted by applicants resulting in a non-match. File includes completed verification form, correspondence between applicants and the foundation, and first tracking database. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: For files not subject to Session Law 2013-360, Session Laws of the General Assembly of North Carolina, 2013 Session: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. For files subject to Session Law 2013-360: Transfer records upon completion of processing to Department of Commerce, North Carolina Industrial Commission, Claims Unit, Eugenics Asexualization and Sterilization Compensation Program File (Item 50388) in compliance with G.S. 143B-426.52.

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ITEM 50482. PROGRAM MANAGEMENT FILE

Records in paper and electronic formats concerning program management, outreach to potential claimants, collaboration with the UNC Center for Civil Rights and the North Carolina Bar Association, publicity, advocacy, and other related information. File includes program management notebook, banners, maps, publications, and other related records.

DISPOSITION INSTRUCTIONS: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50490. INCOMPLETE VERIFICATION FILE

Records in paper and electronic formats concerning inquiries not leading to claim or not accompanied by official claim form. File includes correspondence. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50491. OFFICIAL CLAIM HANDOFFS FILE

Records in paper and electronic formats concerning handoffs of official verified claims to the North Carolina Industrial Commission. File includes reference copies of official claim forms, correspondence with North Carolina Industrial Commission, correspondence with victims regarding handoff, and other related records. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center immediately. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 50492. MASTER MATCH/NO MATCH VICTIM TRACKING (ELECTRONIC) FILE

Electronic records concerning tracking of claims of verified victims, both match and no match. Information includes file numbers, dates, data for calculation of payments, status of appeals, and other related information. (File shared with Department of Commerce, North Carolina Industrial Commission, Claims Unit.) (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Transfer electronic records to the State Records Center upon adjudication of final claim for immediate transfer to the custody of the Archives.

ITEM 50493. TOTAL PAYMENT CALCULATION (ELECTRONIC) FILE

Electronic records concerning calculation of total payments to verified victims with approved claims. Information includes list of verified victims with approved claims, list of verified victims in process of appeal, initial and total payment calculations, and other related information. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

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DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when administrative value ends.

ITEM 50494. PAYMENT CHECK REGISTER FILE

Records in paper and electronic formats concerning tracking of award checks sent by certified mail to verified victims with approved claims. (Comply with G.S. 132-1.23 regarding confidentiality of eugenics program records.)

DISPOSITION INSTRUCTIONS: Transfer electronic records to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Transfer paper records to the State Records Center when administrative value ends. Paper records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.