DEPARTMENT OF COMMERCE
DIVISION OF WORKFORCE SOLUTIONS
APPRENTICESHIP AND TRAINING BUREAU

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 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 Commerce 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 them to be destroyed when *"administrative/reference value ends."* The Department of Commerce 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 Cultural Resources to destroy these records. For those record series scheduled to be microfilmed, the Department of Commerce will be responsible for cost of microfilm production.

The Department of Commerce 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 Department of Commerce 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.

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 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.

July 28, 2015 Courtney Bailey

The Department of Commerce 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

Carolyn Wall
Chief Records Officer

~~Kathryn Castelloes, Director~~ Pam Howze
~~NCWorks/Apprenticeship~~ Director of Work Based Learning

Will Collins, Assistant Secretary
Division of Workforce Solutions

Sarah E. Koonts, Director
Division of Archives and Records

APPROVED

John E. Skvarla III, Secretary
Department of Commerce

Susan W. Kluttz, Secretary
Department of Cultural Resources

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ITEM 21223. ACTIVE APPRENTICESHIP/ON-THE-JOB TRAINING MASTER CRAFTSMAN PROGRAMS FILE

Records concerning active apprenticeship/on-the-job training/Master Craftsman programs. File includes standards, registration forms, listings of work processes, apprenticeship agreements, and other related records. Sponsors' names, numbers of employees at companies, names of supervisors of apprentices, programs' statuses, Occupational Information Network (O-NET) codes, descriptions of work processes, and other related data are entered into Apprenticeship and Training (Electronic) File (Item 36515) and routinely updated.

DISPOSITION INSTRUCTIONS: Transfer apprenticeship agreements to Cancelled Apprenticeship Agreements File (Item 21224) or Completed Apprenticeship Agreements File (Item 21225) when apprentice's training is cancelled or completed. Transfer remaining records to Cancelled Programs File (Item 2450) when program is cancelled.

ITEM 36515. APPRENTICESHIP AND TRAINING (ELECTRONIC) FILE

Electronic data records concerning apprenticeship and training programs. File includes data fields consisting of sponsors' and apprentices' names, names of supervisors of apprentices, Occupational Information Network (O-NET) codes, apprentices' cancellation or completion dates, descriptions of work processes, and other related data.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 21226. APPRENTICESHIP PRINTOUTS FILE

Computer printouts listing program names, descriptions of programs, numbers of active apprentices in programs, numbers of apprentices completing programs, and other related information obtained prior to the implementation of Apprenticeship and Training (Electronic) File (Item 36515).

DISPOSITION INSTRUCTIONS: Records no longer being created. Scan in office paper records. Transfer paper copies of scanned records immediately to the State Records Center for transfer to the custody of the Archives. Retain electronic records in office permanently.

ITEM 21224. CANCELLED APPRENTICESHIP AGREEMENTS FILE

Records of agreements between apprentices and sponsors that have been cancelled. File includes agreement cancellation requests, amendments, and other related records. Sponsors' and apprentices' names, trade titles, cancellation dates, and other related data are entered into Apprenticeship and Training (Electronic) File (Item 36515).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed if no litigation, claim, audit, or any other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

ITEM 2450. CANCELLED PROGRAMS FILE

Records concerning apprenticeship programs that have been cancelled. File includes standards, registration forms, listings of work processes, and other related records. Pertinent information is entered into the Apprenticeship and Training (Electronic) File (Item 36515).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

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ITEM 21225. COMPLETED APPRENTICESHIP AGREEMENTS FILE

Records of agreements between apprentices and sponsors that have been completed. File includes action requests, amendments, and other related records. Sponsors' and apprentices' names, trade titles, completion dates, and other related data are entered into Apprenticeship and Training (Electronic) File (Item 36515).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 2 years. Records will be held for agency in the State Records Center 5 additional years and then destroyed if no litigation, claim, audit, or any other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

ITEM 2451. DIRECTOR'S CORRESPONDENCE FILE

Correspondence, including e-mail, from the Director concerning the administration and operation of the division.

DISPOSITION INSTRUCTIONS: Scan in office paper records. Destroy in office after 10 days paper copies of scanned records. Transfer electronic records after 5 years to the State Records Center for immediate transfer to the custody of the Archives.

ITEM 2449. MINUTES FILE

Official minutes in paper and electronic formats of meetings of the Apprenticeship Council. File includes agendas and attachments. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer electronic records of the official minutes, including agendas, to the State Records Center after 5 years for immediate transfer to the custody of the Archives. Retain in office permanently the original, signed, paper set of minutes including agendas and attachments.

ITEM 49072. VETERANS AFFAIRS PROGRAM FILE

Records concerning U.S. Department of Veterans Affairs (VA) programs. File includes apprenticeship agreements, veterans' applications, 1999b cancellations, employer applications, certifying official documents, program revisions, and changes in apprentice status. File also includes reference copies of Director's correspondence, including e-mail, and VA correspondence, including e-mail, dealing with program approvals and revisions and other related records. The file also contains all correspondence to and from the VA relating to this program. All paperwork remains in the program file. When program is cancelled, the cancellation Third Party Relay (TPR) is placed at the front of the file.

DISPOSITION INSTRUCTIONS: Transfer records to the State Records Center after 2 years (by contract year). Records will be held for agency in the State Records Center 5 additional years and then destroyed if no litigation, claim, audit, or any other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

ITEM 49073. VETERANS AFFAIRS REPORTING FILE

Records in paper and electronic formats concerning U.S. Department of Veterans Affairs (VA) and operations and data. File includes quarterly reports, State Approving Agencies (SAA) Self Evaluations, reports of visits, compliance visits, facility counts, VA contracts, vouchers, and other related records.

DISPOSITION INSTRUCTIONS: Transfer paper records to the State Records Center after 2 years (by contract year). Records will be held for agency in the State Records Center 5 additional years and then destroyed if no litigation, claim, audit, or any other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved. Destroy electronic records in office after 7 years if no litigation, claim, audit, or any other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

The following item will be discontinued.

ITEM 21227. LEGAL REFERENCE FILE

Reference copies of rulings from the Office of the Attorney General and bills concerning apprenticeship and training.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by General Schedule for State Agency Records (Attorney General Opinions and Rulings File; Legislative File).