

DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF ARCHIVES AND HISTORY
ARCHIVES AND RECORDS SECTION
RECORDS SERVICES BRANCH

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

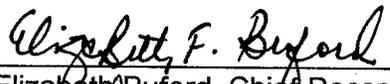
RECORDS SERVICES BRANCH

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

RECORDS SERVICES BRANCH

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 This schedule is to remain in effect until superseded.

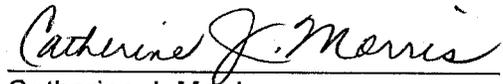
APPROVAL RECOMMENDED



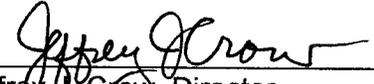
Elizabeth Buford, Chief Records Officer
Department of Cultural Resources



David J. Olson,
State Archivist and Records Administrator
Archives and Records Section

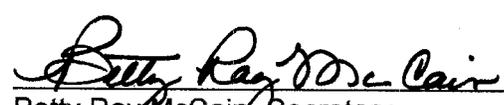


Catherine J. Morris,
Assistant State Records Administrator
Records Services Branch



Jeffrey U. Crow, Director
Division of Archives and History

APPROVED



Betty Ray McCain, Secretary
Department of Cultural Resources

March 15, 1999

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ABOUT THIS RECORDS RETENTION AND DISPOSITION SCHEDULE

This records disposition schedule lists the records maintained in your office as reported to the Division of Archives and History on the date indicated. It lists all records, whether they are to be destroyed in your office or transferred to the State Records Center, and provides a brief description of each group (following the identification number) and instructions for their legal disposition (following the words "DISPOSITION INSTRUCTIONS"). Records should never be arbitrarily destroyed on the basis of personal opinion but only on the basis of a firm schedule. The disposition instructions contained herein provide that schedule and the legal procedures for records management activities in your agency.

Authority for this schedule, and the disposition instructions therein, is contained in Chapters 121 and 132 of the General Statutes of North Carolina. Compliance with the disposition instructions listed herein will help ensure conformity with these laws and that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Section 500. Errors and omissions do not invalidate this schedule or render it obsolete. All provisions of this schedule remain in effect until it is officially superseded.

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Records Services Branch whenever corrections, additions, or deletions in the records schedule should be made. Records Services Branch personnel will then amend this schedule in order to ensure that it remains complete and accurate and is in compliance with federal and state laws and regulations.

The Records Services Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing schedules; supply and delivery of boxes, tape and labels for records scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. There is no charge for these services.

For questions, please contact
Laura L. B. Hensey, Records Management Analyst
Records Services Branch,
Archives and Records Section, Division of Archives and History
215 North Blount Street
919.733.3540 (fax 919.733.3627)
lhensey@ncsl.dcr.state.nc.us

ELECTRONIC MAIL AS A PUBLIC RECORD IN NORTH CAROLINA
Guidelines for Its Retention, Disposition, and Destruction

Department of Cultural Resources
Division of Archives and History

The Division of Archives and History assumes that every state agency or other political unit in the state of North Carolina sends and receives electronic mail ("e-mail") or will shortly have the capability of doing so. E-mail (unless it is personal in nature) contains information of value concerning, or evidence of, the administration, management, operations, activities, and business of an office. Like paper records---such as the memoranda, correspondence, reports, and the hundreds of other types of records received traditionally, for example, through interoffice or U.S. mail or other avenues---e-mail has administrative, legal, reference, and/or archival values. *The content of electronic mail is a public record* (according to G.S. 121.8 and 132.1) *and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources.* This regulation, along with a current records retention and disposition schedule, is intended to provide for that guidance.

Accordingly, agencies and their offices which use e-mail should normally retain or destroy e-mail by following the provisions of a current, valid records retention and disposition schedule listing the records maintained by a particular office, filing e-mail (whether in paper or electronic format) within existing records series on their schedules and handling it according to the disposition instructions assigned to each such records series. Because of the characteristics of the medium, however, electronic mail also possesses a dual identity. E-mail is also used to transmit and receive messages which may have reference or administrative value but which are simultaneously of an ephemeral, temporary, or transient nature. As such, e-mail of this kind functions in some ways like telephone calls or telephone messages. Such messages remain public records but may be treated as having a reference or administrative value which ends when the user no longer needs the information such a record contains. E-mail of ephemeral or rapidly diminishing value may be erased or destroyed when the user has determined that its reference value has ended.

Agencies and offices need, however, to pay particular attention to the sometimes complex requirements for the retention of e-mail for longer periods of time, *i.e.* e-mail of more than transient value. E-mail in this category may be retained in electronic or paper form (the latter may in some cases be the only means of providing for archival retention, for example through microfilming of paper copies), but must be retained for as long as the period specified in a valid records schedule. If retained in paper form, the copies must retain transmission and receipt data. If electronic mail is retained in electronic form, office administrators need to insure that their electronic environment (client server, mainframe computer in or outside their agency, or office personal computer) assures the retention of e-mail for the required period of time. Office administrators may need to contact relevant personnel at SIPS (State Information Processing Services), at their own agency computer systems unit, or any other personnel who operate computer units or systems immediately or remotely, to insure that such systems process e-mail in accordance with records retention schedules and provide for backups, disaster recovery, physical and electronic security, and the general integrity of the system, its components, and the records it generates and maintains. Office administrators may also need to assure that office filing systems adequately provide for the proper classification of electronic files (including e-mail) in the same manner as currently provided for paper-based files.

Office administrators, department or unit heads, and all other state employees who use e-mail should regularly and consistently retain or delete e-mail in accord with the records series and disposition instructions, and other instructions, provided above. Retention of e-mail or any other records, whether in electronic or paper format, for longer than provided in a valid records retention and disposition schedule leads to inefficiency and waste and may subject the affected unit to legal vulnerabilities.

DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF ARCHIVES AND HISTORY
ARCHIVES AND RECORDS SECTION
RECORDS SERVICES BRANCH

RECORDS RETENTION AND DISPOSITION SCHEDULE

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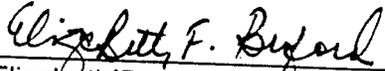
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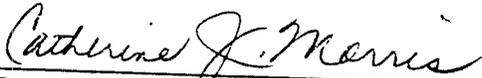
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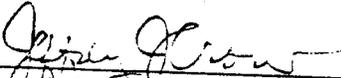
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APPROVAL RECOMMENDED

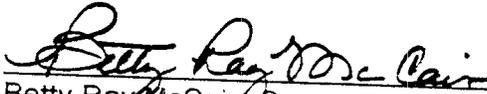

Elizabeth Buford, Chief Records Officer
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Catherine J. Morris,
Assistant State Records Administrator
Records Services Branch


David J. Olson,
State Archivist and Records Administrator
Archives and Records Section


Jeffrey U. Crow, Director
Division of Archives and History

APPROVED


Betty Ray McCain, Secretary
Department of Cultural Resources

March 15, 1999

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

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**DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF ARCHIVES AND HISTORY
ARCHIVES AND RECORDS SECTION
RECORDS SERVICES BRANCH
STATE AND UNIVERSITY RECORDS AND RECORDS CENTER UNIT**

ITEM 23647. MASTER SCHEDULES FILE.

Approved records retention and disposition schedules for state government agencies and state-funded universities. File includes schedules bearing original signatures of authorizing officials. (File is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to Superseded Master Schedules File (Item 3919) when superseded. Transfer remaining records to Superseded Master Schedules File (Item 3919) 10 years after official termination of agency activity.

ITEM 23654. RECORDS RETENTION AND DISPOSITION SCHEDULES FILE.

Reference copies of records concerning approved records retention and disposition schedules for state government agencies and state-funded universities. File includes copies of each current schedule from the Master Retention and Disposition Schedules File (Item 23647). Schedules list title, description, and disposition instructions for each records series.

DISPOSITION INSTRUCTIONS: Destroy in office schedules that are superseded by a new schedule when the new schedule is approved. Destroy in office schedules for agencies which are terminated 10 years after official termination of agency activity.