

DEPARTMENT OF CULTURAL RESOURCES
DIVISION OF HISTORICAL RESOURCES
ARCHIVES AND RECORDS SECTION
GOVERNMENT RECORDS BRANCH

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

Government Records 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 electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.** The

Government Records 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 This schedule is to remain in effect until superseded.

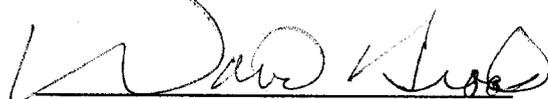
APPROVAL RECOMMENDED



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**DEPARTMENT OF CULTURAL RESOURCES
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ADMINISTRATION**

ITEM 833. Administrative File. Records in paper and electronic formats concerning the administration of the branch. File includes correspondence, memorandums, meeting notes, reports, summaries of operations, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 28342. Records Center File. Records concerning program administrative records. File includes correspondence and reference copies of State Records Center floor plans. (Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of plans and drawings of infrastructure facilities.

DISPOSITION INSTRUCTIONS: Item discontinued. Floor plans were transferred to Facility Management File (Item 42428). All remaining records were transferred to Administrative File (Item 833).

ITEM 42425. Branch Special Projects File. Records in paper and electronic formats documenting special projects and the historical development of branch programs and services. File includes records management workshop materials, branch publications and forms, correspondence, project proposals and status reports, ad hoc reports, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 42428. Facility Management File. Records in paper and electronic formats concerning leased and state-owned storage facilities managed by the Branch. File includes reference sets of building plans, correspondence, space analyses, and other related records. File also includes information concerning records stored at off-site facility damaged by flooding from Hurricane Fran (September 5, 1996). (Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of plans and drawings of infrastructure facilities.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center 5 years after facility is no longer in use. Records will be held for the agency 5 additional years and then transferred to the custody of the Archives.

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ADMINISTRATION**

ITEM 47791. Records Management Software Project. Records in paper and electronic formats concerning the search for a suitable replacement of in-house designed records management / location tracking software. File includes software reference materials, business reports, vendor information, presentation, notes, reports, and software comparisons.

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

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ELECTRONIC RECORDS UNIT**

ITEM 42429. Web Site Archiving Project Development File. Records in paper or electronic formats concerning the development of the archiving of State Government Web sites. File includes drafts, notes, reference materials, reports, memorandums and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently programs and standards. Destroy in office monthly crawl reports after 5 years. Destroy in office remaining records when superseded or obsolete.

ITEM 47744. State Agencies' Web Sites Preservation File (ELECTRONIC). Records in paper and electronic formats concerning the capture of state agencies' web sites. File includes domain names, presentations, business reports, memos, preservation information, lists of file formats, release notes and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. (Unit staff will follow established branch procedures for transfer of archival electronic records.)

ITEM 47793. Archival Electronic Records Guidelines, Policies, And Procedures File. Records in paper and electronic formats concerning the guidelines, policies or procedures for the capture, retention and preservation of electronic files. File includes content on cataloging file formats and media types, metadata standards and digital (web, audio and electronic) archiving.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. (Unit staff will follow established branch procedures for transfer of archival electronic records.)

ITEM 47794. Contract File. Records in paper and electronic formats concerning contracts and agreements between the branch and outside vendors for various aspects of digital preservation of state agencies' web sites. May also include release notes.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration of contract 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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ELECTRONIC RECORDS UNIT**

ITEM 47795. Electronic Records Preservation File. Records in paper and electronic formats concerning ways to capture, retain, and preserve digital files not posted on state agencies' web sites. Files include business documents, drafts, memos, release notes, and reports.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. (Unit staff will follow established branch procedures for transfer of archival electronic records).

ITEM 47796. Preservation Of Digital Information Research File. Records in paper and electronic formats concerning storage of digital files. File includes file format information, electronic user group or steering committee notes, Open Archival Information System (OAIS) implementation information, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when administrative value ends for immediate transfer to the custody of the Archives. Contact Analyst of the State Records Center prior to transfer of official electronic records.

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STATE AGENCY SERVICES UNIT**

ITEM 3741. Master Index File. Microfilmed records concerning the management of records stored in the State Records Center. File information includes storage locations and information about destruction or transfer of records. (Records date from 1953 to 1985. Information is now tracked or located in the FINDING AID SYSTEM (FAIDS) (ELECTRONIC) FILE, Item 23293, and in the RECORDS TURNOVER FILE, Item 23649.)

DISPOSITION INSTRUCTIONS: Item discontinued. Retain microfilm in security vault permanently.

ITEM 23293. Finding Aid System (FAIDS) And Services (SERVS) (ELECTRONIC) File. Electronic records concerning the location and physical management of state agency records stored in State Records Center facilities. File includes data entered from RECORDS TURNOVER FILE, Item 23649 (transfer date, storage location, box types and quantities, and disposition action dates) and is dependent upon and linked to RECORDS SCHEDULE MANAGEMENT DATABASE (SCHEDS) (ELECTRONIC) FILE, Item 42470, for unique item numbers, file descriptions, disposition instructions, and historical schedule references. Related software (SERVS) also tracks Services (statistics about reference requests and filing activity on records stored in branch-managed facilities). FAIDS information is downloaded once a quarter to CD-ROM (by the department's Office of Information Technology) for disaster purposes. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Destroy disaster copy of FAIDS in office after 5 years. Update software as needed; migrate and retain data in office permanently.

ITEM 23646. Accession Log File. Listings of records transferred from agencies to the State Records Center. Information concerning each accession includes transfer date, accession number, agency of origin, records title, schedule reference, volume transferred, initials of individual accessioning records, and location in the State Records Center.

DISPOSITION INSTRUCTIONS: Item discontinued. Information now contained in RECORDS TURNOVER FILE, Item 23649, and tracked by FINDING AID SYSTEM (FAIDS) (ELECTRONIC) FILE, Item 23293. Destroy in office when administrative value end.

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ITEM 23648. Records Reference Requests File. Records Retrieval Forms (Form RC-14) in paper and microfilm formats which track requests by state agencies for files to be pulled from their records stored in State Records Center facilities. Information includes name and phone number of requester, title and date of file requested, storage locations, Item number (from records schedule), and other related data. (Files pulled prior to October 1985 were marked in the boxes by numerical outcards. After October 1985, the original request forms were duplicated to serve as outcards.) Detailed information for requests dated June 1972 to October 1985, exists only on original request forms and those forms have been microfilmed and retained for reference use.

DISPOSITION INSTRUCTIONS: The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault, and a duplicate copy of microfilm will be provided to the Unit. Destroy in office remaining records after 5 years.

ITEM 23649. Records Turnover File. Records documenting the transfer, storage, and disposition actions taken concerning inactive state agency records. File includes Records Transfer Requests (Form RC-2), Notices of Destruction of Records (Form 23-X), Notices of Return of Records (to agency) (Form 23-R), microfilm disposition worksheets (Forms SR-10, SR-11), and forms documenting the transfer of records to the custody of the Archives (Form 23-T, or copies of Archives' Preliminary Accession Records). Most of these forms are generated from (and completed data entered back into) portions of the FINDING AID SYSTEM (FAIDS) AND SERVICES (SERVS) (ELECTRONIC) FILE, Item 23293. (This is an essential agency record).

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years. Records will be held for agency 5 additional years, and then microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault.

ITEM 42466. Environmental Monitoring File. Records concerning the monitoring of the environmental conditions in branch-managed facilities. File includes hygrometer charts registering changes in temperature and humidity, and other related records.

DISPOSITION INSTRUCTIONS: Transfer records created on or before March 2001 to the Collections Management Branch after 5 years. Destroy records created after March 2001 in office after 5 years.

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ITEM 42469. Pickup List Database (ELECTRONIC) File. Electronic records concerning requests to transfer records to the State Records Center. Electronic file includes name, agency, phone number, and physical location of requester; date request was received by State Records Center; item number and box type and quantity of records; and date records picked up from agency. Data is entered from Records Transfer Requests (Form RC-2).

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 42471. Services Statistics (Printouts) File. Records concerning service statistics for records held at branch-managed facilities. File includes service histories, summary statistics, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. All records destroyed.

ITEM 42472. Space And Storage File. Records concerning space and storage issues at branch-managed facilities. File includes reports, analyses, notes on individual agencies' space problems, reference copies of pickup lists, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 29526. State Agencies Records Schedules File. Archives' set of signed and approved records retention and disposition schedules for state agencies. The oldest schedules also include records inventory notes and agency histories. This is a second set (for archival reference, arrangement and processing use) of the original, approved schedules found in the STATE AND UNIVERSITY RECORDS ANALYSIS UNIT, RECORDS RETENTION AND DISPOSITION SCHEDULES FILE, Item 3919.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 47025. Preliminary Accession Of Governors' Records File. Reference copies of Preliminary Accession Records (prepared by unit staff) documenting the transfer of Governors' records to Archives custody (original forms are located in Archives Registrar's PRELIMINARY ACQUISITIONS RECORD FILE, Item 23618). File may also include copies of State Agency Transfer Sheet / Preliminary Accession Record (Form 23-T). File includes a description of the records being transferred, number of cubic feet, transfer date, and the name of the official transferring records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

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ITEM 47026. Clemency Records Reference Requests File. Records concerning requests by the Governor's Clemency Office for clemency records. File includes request form information containing title of file being requested by the Governor's Clemency Office, date requested, date sent to office, name of person requesting records, and date returned for refiling. File may also include information on interfiling of material not previously transferred for storage.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 47027. Governors' Records Stack Location Guide File. Records in paper and electronic formats concerning the storage locations of processed and unprocessed Governors' records within the State Records Center and Archives facilities.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 47028. Governors' Records Projects File. Records concerning the arrangement and description of Governors' records.

DISPOSITION INSTRUCTIONS: Item discontinued. Function and records transferred to STATE AGENCY ARRANGEMENT AND DESCRIPTION PROJECTS FILE, Item 47797.

ITEM 47797. State Agency Arrangement And Description Projects File. Records in paper and electronic formats created as part of the unit's planning and completion of arrangement and description projects. File includes drafts and completed finding aids, box and folder lists, box and folder templates, and research information for updating agency histories and scope and content notes. File may also include lists of potential projects, reference copies of transfer forms, preliminary accessioning forms, and printouts from the Archives' online Finding Aid, MANUSCRIPT AND ARCHIVES REFERENCE SYSTEM (MARS).

DISPOSITION INSTRUCTIONS: Send two copies of finished Finding Aids to the Public Services Branch to be included in the Finding Aid binders (two sets). Insert a third copy into the unit's set of Finding Aid binders, and send an electronic version to the Information Technology Branch (for eventual posting on web site). Destroy in office remaining records when administrative value ends.

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LOCAL RECORDS UNIT**

ITEM 3915. Local Agencies File. Records concerning records management assistance provided to county and municipal agencies. File includes correspondence, agreements, reports of assistance visits, and other related records.

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

ITEM 39075. Analysts' Reference File. Reference copies of records concerning records management and local government subjects. File includes articles, journals, publications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 39077. Councils Of Government File. Records concerning activities with Councils of Government. File includes contact and activity logs, correspondence, meeting notes, and other related records.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy in office when administrative value ends.

ITEM 39089. Schedule Development File. Records in paper and electronic formats concerning the development of schedules for local government agencies. File includes drafts, record inventories, and other related records. File also includes published versions of the schedules. A scanned reference copy of the official, signed schedule will be placed on the division web site. (File is an essential agency record.)

DISPOSITION INSTRUCTIONS: Retain in office the original, signed copy permanently. Scan original copy and place on division website. Update/replace website copy when superseded or obsolete. Destroy in office remaining copies and related records when reference value ends.

ITEM 47020. Unfilmed Minutes File. Reference copies of minutes of local government agencies being held in preparation for microfilming.

DISPOSITION INSTRUCTIONS: Item discontinued. Records transferred to the Collections Management Branch.

ITEM 47021. Minutes Tracking Records File. Records in paper and electronic formats concerning the tracking of local government minutes received for filming. File includes "Minutes2Film" database and other related records.

DISPOSITION INSTRUCTIONS: Retain in office "Minutes2Film" data permanently. Destroy remaining records when administrative value ends.

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ITEM 29504. Local Records Unit Records Description And Administration File.

Original records (and some duplicate information) concerning the acquisition of county and municipal records for storage and transfer of custody to the Archives. File includes transfer sheets, inventory forms, and other related records.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 47023. Local Records Unit Planning File. Records describing the planning, prioritizing, and processing of arrangement and description projects.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 47024. Arrangement And Description Projects And Finding Aids File.

Records created as a result of an arrangement and description project (grouped by county). File includes overall descriptions of the records series, specific contents of the records series, and other processing information.

DISPOSITION INSTRUCTIONS: Transfer completed finding aid to the Public Services Branch to be included in the Finding Aid binders. Destroy remaining records when superseded or obsolete.

ITEM 47022. Processed County Records Database (ELECTRONIC) File. Records received from county agencies that have been processed and accessioned into the permanent archival collection. File includes name of county and record series, storage location, physical quantity after processing, transfer date, and name of person releasing records to Archives custody.

DISPOSITION INSTRUCTIONS: Destroy in office when processing has been completed and accessioning and related data have been entered into the Archives online Finding Aid, Manuscripts and Archives Reference System (MARS).

ITEM 47798. Unprocessed County Records Database (ELECTRONIC) File.

Records received from county agencies that have not been processed nor accessioned into the permanent archival collection. File includes county, record series, storage location, number of cubic feet, transfer date, and name of person releasing records to Government Records Branch custody.

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

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GOVERNMENT RECORDS BRANCH
STATE AND UNIVERSITY RECORDS ANALYSIS UNIT**

ITEM 3802. State Agency Program File. Records in paper and electronic formats concerning records management assistance provided to state agencies. File includes correspondence, agreements, initial requests for records schedule amendments, reports of assistance visits, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 3919. Records Retention And Disposition Schedules File. Approved records retention and disposition schedules for state government agencies and state-funded universities. File includes schedules, in paper, bearing original signatures of authorizing officials and reference copies, in paper or electronic formats. (File is an essential agency record.)

DISPOSITION INSTRUCTIONS: Erase/destroy in office reference copies when superseded or obsolete. Transfer schedules bearing original signatures to the State Records Center 5 years after being superseded to be microfilmed for permanent storage. Microfilmed paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in the State Archives vault.

ITEM 23629. University Program File. Records in paper and electronic formats concerning records management assistance provided to University of North Carolina System institutions. File includes correspondence, agreements, reports of assistance visits, and consultations by phone and electronic mail, guidelines, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 10 year(s). Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

ITEM 23651. Analysts' Agency Reference File. Records concerning analysts' contacts with assigned agencies. File includes correspondence, memorandums, reports, publications, personnel listings, special project material, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

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STATE AND UNIVERSITY RECORDS ANALYSIS UNIT**

ITEM 23960. Schedule Development File. Records in paper and electronic formats concerning the development or amendment of retention schedules for state agencies, universities, licensing boards, and independent commissions. File includes job tracking logs, correspondence, requests for schedule changes, draft schedules, service and transfer history logs, completed inventory forms, and other related records.

DISPOSITION INSTRUCTIONS: Transfer a copy of completed inventory forms for archival electronic records to Archives and Records Section, Information Technology Branch when received and retain in office until superseded or obsolete. Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center 1 year after completion or cancellation of schedule. Records will be held for agency in the State Records Center 9 additional years and then destroyed.

ITEM 33278. Scheduled Disposition Of Inactive Records (SDIR) Program File. Records concerning the Scheduled Disposition of Inactive Records (SDIR) Program. File includes correspondence, drafts of reports and surveys, worksheets, and other related records. File also includes surveys completed by agencies.

DISPOSITION INSTRUCTIONS: Item discontinued. Destroy records in office when administrative value ends.

ITEM 42470. Records Schedule Management Database (SCHEDS) (ELECTRONIC) File. Electronic records concerning records retention and disposition schedules for state agencies licensing boards, independent commissions, community colleges, and selected items for University of North Carolina System universities. File includes title, description, and disposition instructions for each item. File also includes discontinued items and SCHEDS.WORK and SCHEDS.WORK.GS, which are drafts of schedules.

DISPOSITION INSTRUCTIONS: Retain in office permanently all data for items on approved schedules and all items with corresponding FAIDS entries, as well as data on discontinued items. Erase/destroy in office remaining records including data for items with no corresponding Finding Aids System (FAIDS) entry when superseded or obsolete.