

DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT  
N.C. TECHNOLOGICAL DEVELOPMENT AUTHORITY

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

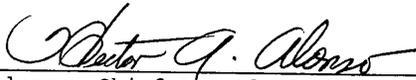
N.C. TECHNOLOGICAL DEVELOPMENT AUTHORITY

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

N.C. TECHNOLOGICAL DEVELOPMENT AUTHORITY

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 This schedule is to remain in effect until superseded.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



Hector A. Alonso, Chief Records Officer  
Department of Economic and Community Development



Brent Lane, Director  
N.C. Technological Development Authority



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

APPROVED



James T. Broyhill, Secretary  
Department of Economic and Community  
Development



Patric Dorsey, Secretary  
Department of Cultural Resources

April 30, 1990

WCW

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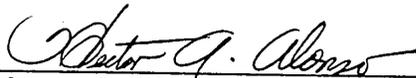
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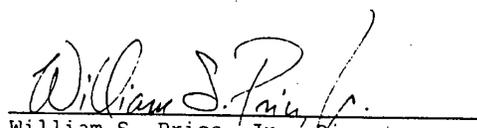
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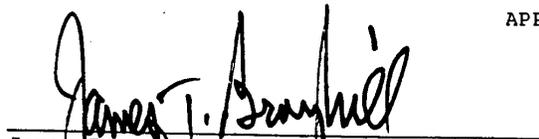
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**This schedule was modified to  
comply with the provisions of the  
General Schedule for State Agency Records,  
effective October 1, 2000.  
Remaining items retain the  
original date shown below.**

WCW

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**ITEM 3938. INNOVATION RESEARCH FUNDS FILE.**

Records concerning financing of up to \$50,000 per project for research and development activities of small businesses physically located in North Carolina who will generate jobs in the state. File includes proposals, agreements, correspondence, and reports.

DISPOSITION INSTRUCTIONS: Group into Active and Inactive Files. Hold Active Files until final report is received, then transfer to Inactive Files. Transfer Inactive Files to the State Records Center after 1 year. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

**ITEM 12646. INCUBATOR FACILITIES PROGRAMS FILE.**

Records concerning one-time grants for the establishment of facilities that provide low-rent space, shared support services, and basic equipment for resident small businesses. File includes applications and proposals from non-profit corporations applying for grant money and the official grant agreements between grantors and grantees. File also includes information regarding individual communities, workshops, reports, and other related records.

DISPOSITION INSTRUCTIONS: Group into Active and Inactive Files. Hold Active Files until final report is received, then transfer to Inactive Files. Transfer Inactive Files to the State Records Center after 1 year. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

**ITEM 12648. STUDY OF "TECHNOLOGY-DEPENDENT SMALL BUSINESSES IN NORTH CAROLINA" FILE.**

Records concerning a study to improve small business assistance programs in the state by targeting and publicizing business assistance programs more effectively. The study provides a census of technology-dependent small firms and an evaluation of the impact of assistance programs on business survival rates and job creation. Survey indicates when each business started, its size, location, and if it has any manufacturing facilities.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 5 year(s).

**ITEM 12649. APPALACHIAN REGIONAL COMMISSION (ARC) GRANT FILE.**

Records concerning grant entitled "Local Planning for Small Business Development." File includes applications, correspondence, and contract between the ARC and the North Carolina Technological Development Authority. (Grant money is used to promote small business innovation and development in the 29 counties in western North Carolina.)

DISPOSITION INSTRUCTIONS: Group into Active and Inactive Files. Hold Active Files until released from audit, then transfer to Inactive Files. Transfer Inactive Files to the State Records Center after 1 year. Records will be held for agency in the State Records Center 4 additional years and then destroyed.

**ITEM 12650. SMALL BUSINESS RESEARCH AND DEVELOPMENT FILE.**

Records concerning the authority's efforts to promote awareness of and participation in the federal Small Business Innovation Research (SBIR) program and the authority's Innovation Research Fund. File includes program history, workshop and conference information, solicitations information, announcements, and proposals.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 5 year(s).

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**ITEM 12651. SMALL BUSINESS ISSUES FILE.**

Reports concerning small business issues.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 12652. OTHER STATES FILE.**

Records concerning other states' efforts in technological innovation.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 12653. SMALL BUSINESS FILE.**

Staff resource file concerning small businesses in North Carolina and other states.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 12654. GOVERNOR'S TASK FORCE ON SCIENCE AND TECHNOLOGY FILE.**

Correspondence, reports, and other related records concerning the task force.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

**ITEM 12655. TECHNOLOGICAL DEVELOPMENT AUTHORITY BOARD FILE.**

Official copies of minutes of meetings of the board, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer minutes periodically to the State Records Center to be microfilmed for security and returned. Transfer a duplicate copy of subsequent minutes to the State Records Center for security storage. Destroy returned records when reference value ends. Destroy in office remaining records after 5 years.

**ITEM 12656. PERSONNEL FILE.**

Records concerning agency personnel. File includes applications for employment. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy applications in office 2 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge. Transfer remaining records to the agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.

**ITEM 12657. AUTHORITY BACKGROUND FILE.**

Records concerning enabling legislation and other information regarding the creation of the authority.

DISPOSITION INSTRUCTIONS: Destroy in office when agency need ends.

**ITEM 12658. BOARD MEMBERS FILE.**

Records concerning each board member. File includes biographical information and travel reimbursement records.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after member leaves board.

**ITEM 12659. COMPUTER PURCHASES FILE.**

Records concerning the purchase of the authority's computers. File includes specifications, correspondence, and purchase requests.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

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**ITEM 12660. BUDGET FILE.**

Records concerning the management of authority funds.

DISPOSITION INSTRUCTIONS: Item discontinued. Superseded by the General Schedule for State Agency Records.

**ITEM 12661. LEGISLATIVE FILE.**

Records concerning proposed legislation of interest to or affecting the authority. File includes correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years.

**ITEM 12662. INCUBATOR FACILITIES REFERENCE FILE.**

Records concerning proposed incubator facility sites.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 5 year(s).

**ITEM 12663. INNOVATION RESEARCH FUND REFERENCE FILE.**

Records concerning the program, proposal reviews, and other states' efforts to assist with small business financing.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, but within 5 year(s).