

OFFICE OF STATE HUMAN RESOURCES

PROGRAM RECORDS RETENTION AND DISPOSITION SCHEDULE

ORGANIZATIONAL NAME CHANGE

An organizational name change to this Program Records Retention and Disposition Schedule is hereby approved. The Program Records Retention and Disposition Schedule reflects an organizational change from **Office of State Personnel** to **Office of State Human Resources**. No new items have been added, no items have been deleted, and no changes have been made to any existing series descriptions or disposition instructions in any previously signed and approved **Office of State Personnel** records retention and disposition schedules. 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

Office of State Human Resources

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. The agency agrees to comply with 07 NCAC 04M. 0510 when deciding on a method of destruction. 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.

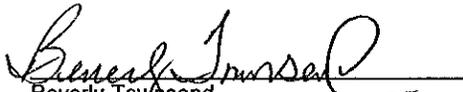
The Office of State Human Resources and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference value ends.*" The Office of State Human Resources 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.

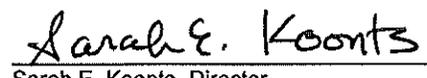
The Office of State Human Resources and the Department of Cultural Resources concur that the long-term and/or permanent preservation of electronic records require additional commitment and active management by the agency. The Office of State Human Resources agrees to comply with all policies, standards, 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.

The Office of State Human Resources 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.

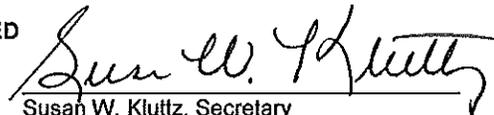
APPROVAL RECOMMENDED


Beverly Townsend
Chief Records Officer


Sarah E. Koonts, Director
Division of Archives and Records


C. Neal Alexander, Jr., Director
Office of State Human Resources

APPROVED


Susan W. Klutz, Secretary
Department of Cultural Resources

August 28, 2013

MAH

OFFICE OF STATE PERSONNEL
ADMINISTRATIVE SERVICES DIVISION

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

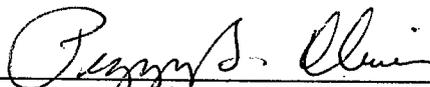
ADMINISTRATIVE SERVICES DIVISION

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

ADMINISTRATIVE SERVICES DIVISION

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.

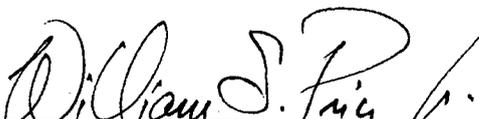
APPROVAL RECOMMENDED



Peggy S. Oliver, Chief Records Officer
Office of State Personnel



Peggy S. Oliver, Director
Administrative Services Division

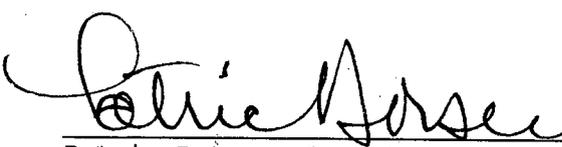


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Richard V. Lee, Director
Office of State Personnel



Patric Dorsey, Secretary
Department of Cultural Resources

October 18, 1989

HFH

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

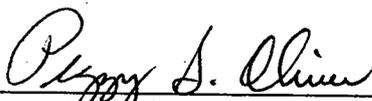
Office of State Personnel
Administrative Services Division
Policy Administration Section
Central File Unit

Amend the records retention and disposition schedule approved October 18, 1989, by changing the description and disposition instructions of Item 10867 as shown dated November 16, 1990.

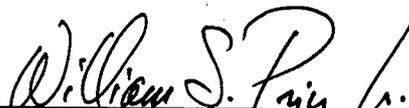
APPROVAL RECOMMENDED



Peggy S. Oliver, Chief Records Officer
Office of State Personnel

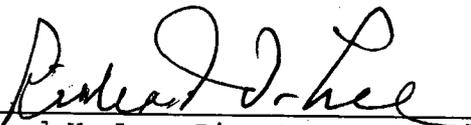


Peggy S. Oliver, Director
Administrative Services Division



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

APPROVED



Richard V. Lee, Director
Office of State Personnel



Patric Dorsey, Secretary
Department of Cultural Resources

November 16, 1990

HFH

OFFICE OF STATE PERSONNEL
ADMINISTRATIVE SERVICES DIVISION

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

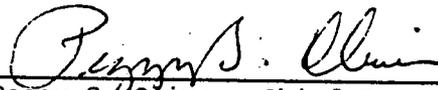
ADMINISTRATIVE SERVICES DIVISION

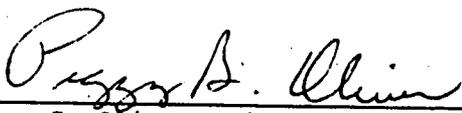
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention 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

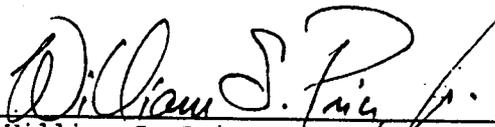
ADMINISTRATIVE SERVICES DIVISION

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.

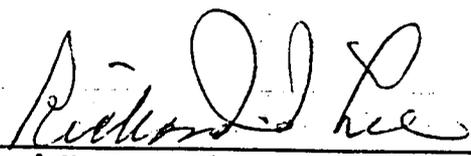
APPROVAL RECOMMENDED

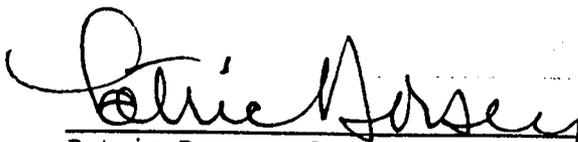

Peggy S. Oliver, Chief Records Officer
Office of State Personnel


Peggy S. Oliver, Director
Administrative Services Division


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

APPROVED


Richard V. Lee, Director
Office of State Personnel


Patric Dorsey, Secretary
Department of Cultural Resources

**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**

October 18, 1989

HFH

**OFFICE OF STATE HUMAN RESOURCES
ADMINISTRATIVE SERVICES DIVISION
PERSONNEL MANAGEMENT INFORMATION SYSTEM SECTION**

ITEM 10862. PERSONNEL MANAGEMENT INFORMATION SYSTEM (PMIS) MASTER FILE

Machine readable records concerning state employees' personnel data. Employee master file houses data extracted from personnel action forms and includes information concerning each employee's sex, race, date of birth, veteran status, educational level, current position number, salary, grade, step, job title, Entered on Duty (EOD) date, Fair Labor Standards Act (FLSA) information, appointment type, social security number, aggregate state service information, and other related data. PMIS master files also include the following components: Workforce Resources/Applicant File, PD-118 Logging System File, and the Public Managers Program System File. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Back-up by copying all official master files weekly at State Information Processing Services (SIPS) and store first and second generation security copies in the SIPS fireproof vault. Transfer third generation security copy from SIPS to the State Records Center. Agency representative will update periodically by exchanging and erasing tapes as necessary. Erase specific components of master file scheduled to be purged automatically from the system when approved by current records retention and disposition schedule for each appropriate division. Retain remaining portions of master file in office permanently.

ITEM 10865. PERSONNEL MANAGEMENT INFORMATION SYSTEM (PMIS) POSITION AND EMPLOYEE HISTORY DATABASE FILE

Machine readable records of each position action form (PD-118) and each employee action form (PD-105) that has been sent by state agencies and universities to the Office of Human Resources for approval. File includes information concerning new hires, promotions, salary adjustments, separations, name changes, appointment changes, and other related records received since 1975 from departments and universities. (File serves as an extension to the Personnel Management Information System (PMIS) Master File, Item 10862.) (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Back-up by copying all official database files weekly at State Information Processing Services (SIPS) and store first and second generation security copies in the SIPS fireproof vault. Transfer third generation security copy from SIPS to the State Records Center. Agency representative will update periodically by exchanging and erasing tapes as necessary. Erase specific components scheduled to be purged automatically from the system when approved by current records retention and disposition schedules for each appropriate division. Retain remaining records in office permanently.

ITEM 10869. PERSONNEL MANAGEMENT INFORMATION SYSTEM (PMIS) COMPUTER TAPE FILE

Machine readable records concerning positions and state employees' personnel data. File includes quarterly tapes used to reconstruct departmental positions at a specified quarterly date.

DISPOSITION INSTRUCTIONS: Back-up by copying primary tapes housed at the State Information Processing Services (SIPS) quarterly. Agency representative will transfer back-up tapes to the Personnel Management Information System Section quarterly. Retain in office computer tapes permanently.

ITEM 27030. MONTHLY BILLING (DETAILED) FILE

Computer printouts showing dollar amounts due monthly to the State Information Processing Services (SIPS). File includes detailed information for each expense item charged by SIPS and a line-by-line account of each expense item.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

**OFFICE OF STATE HUMAN RESOURCES
ADMINISTRATIVE SERVICES DIVISION
PERSONNEL MANAGEMENT INFORMATION SYSTEM SECTION**

ITEM 27031. BILLING (SUMMARIES) FILE

Machine readable records summarizing bills received from the State Information Processing Services (SIPS). File includes monthly summaries of expenses charged for data processing services by department, data storage expenses, and computer equipment support.

DISPOSITION INSTRUCTIONS: Back-up by copying file weekly at State Information Processing Services (SIPS) and store first and second generation security copies in the SIPS fireproof vault. Transfer third generation security copy from SIPS to the State Records Center. Agency representative will update periodically by exchanging and erasing tapes as necessary. Erase in office when reference value ends and when released from all audits, whichever occurs later.

ITEM 27032. COMPUTER PROGRAM FILE

Programming instructions of each individual computer program within the Personnel Management Information System Section's program library. File includes information regarding program logic, source codes, and supplemental documentation regarding program upgrades. (Each of these programs is also housed at State Information Processing Services (SIPS) on magnetic storage.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 27033. COMPUTER PROGRAMS (ELECTRONIC) FILE

Machine readable records concerning the Personnel Management Information System Section's computer programs.

DISPOSITION INSTRUCTIONS: Back-up by copying files weekly at State Information Processing Services (SIPS) and store first and second generation security copies in the SIPS fireproof vault. Transfer third generation security copy from SIPS to the State Records Center. Agency representative will update periodically by exchanging and erasing tapes as necessary. Erase in office when reference value ends.

ITEM 27034. COMPUTER SYSTEMS AND PROGRAMMING TRAINING GUIDES FILE

Records concerning reference training materials for Personnel Management Information System Section's employees. File includes manuals, workbooks, handouts, and other related materials.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 27037. SUGGESTIONS FILE

Computer systems and programming suggestions offered by personnel office employees in various departments to improve their operating efficiency.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**OFFICE OF STATE HUMAN RESOURCES
ADMINISTRATIVE SERVICES DIVISION
POLICY ADMINISTRATION SECTION
POSITION CONTROL UNIT**

ITEM 10864. DATA ENTRY MANUALS FILE

Official manuals outlining procedures and guidelines for data entry operations within the agency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 27042. POLICY INTERPRETATIONS (SUMMARIES) FILE

Records concerning summaries of policy interpretations.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM 27043. EXEMPT FROM STATE PERSONNEL ACT PERSONNEL HISTORIES FILE

Machine readable records concerning employees exempt from the State Personnel Act. File includes records concerning university and faculty employees and appointed and elected officials in state government.

DISPOSITION INSTRUCTIONS: Transfer paper records to the Office of State Budget immediately after information is transferred electronically to Personnel Management Information System Section for incorporation into the Personnel Management Information System (PMIS) Master File, Item 10862. Update or purge electronic files in office when administrative value ends.