

## 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 the following organizational changes:

1. Director's Office and ~~Assistant Director's Office~~ <sup>Asst</sup> to Director's and ~~Associate~~ <sup>Deputy</sup> Director's Office
2. Employee and Management Development Division to Learning and Development Division
3. Employee Risk Control Services Division, Workers' Compensation Section to Safety and Wellness Division
4. Employee Risk Control Services Division, Workplace Requirements for Safety and Health Section to Wellness, Safety and Health Program
5. Employee Services Division to Employee Relations and Local Government Division
6. Employment Practices and Priorities Division to Talent Management Division
7. Equal Opportunity Services Division to Equal Employment Opportunity, Diversity and Inclusion Division
8. Operations and Total Compensation to Operations and Benefits Division
9. Position Management Division to Classification and Compensation Division

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 the most recent versions of the listed 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**

does 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.

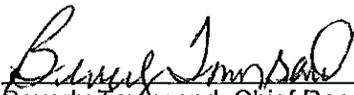
The Office of State Human Resources and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "*administrative/reference 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. For those record series scheduled to be microfilmed, the Office of State Human Resources will be responsible for cost of microfilm production.

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.

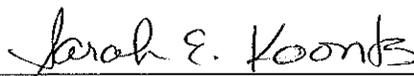
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated 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

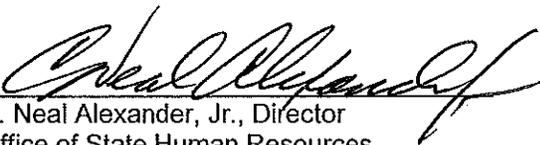


Beverly Townsend, Chief Records Officer  
Office of State Human Resources



Sarah E. Koonts, Director  
Division of Archives and Records

APPROVED



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



Susan W. Kluttz, Secretary  
Department of Cultural Resources

OFFICE OF STATE PERSONNEL  
EMPLOYEE SERVICES DIVISION  
EMPLOYEE RELATIONS SECTION

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

EMPLOYEE RELATIONS SECTION

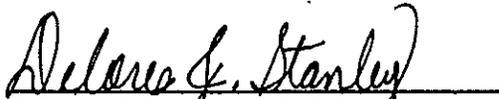
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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

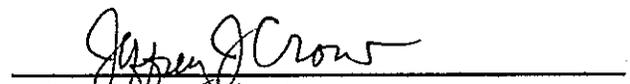
EMPLOYEE RELATIONS SECTION

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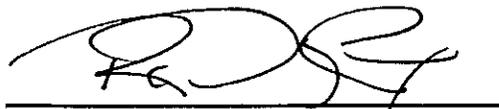
APPROVAL RECOMMENDED

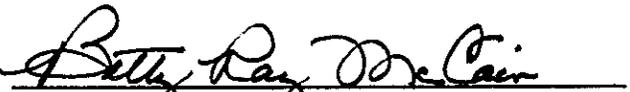
  
Ellen Machacek, Chief Records Officer  
Office of State Personnel

  
Delores J. Stanley, Administrator  
State Personnel Commission

  
Jeffrey J. Crow, Director  
Division of Archives and History

APPROVED

  
Ronald G. Penny, Director  
Office of State Personnel

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

December 10, 1997

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.

KLS

OFFICE OF STATE PERSONNEL  
EMPLOYEE SERVICES DIVISION  
PUBLICATIONS SECTION

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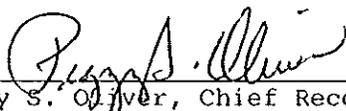
PUBLICATIONS SECTION

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PUBLICATIONS SECTION

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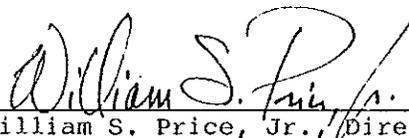
APPROVAL RECOMMENDED



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



Sam W. Badgett, Director  
Employee Services Division

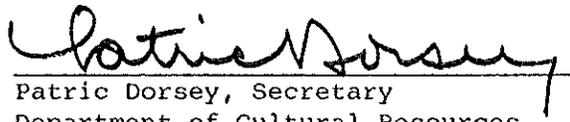


William S. Price, Jr., Director  
Division of Archives and History

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  
original date shown below.**

December 5, 1989

HFH

OFFICE OF STATE PERSONNEL  
EMPLOYEE SERVICES DIVISION  
STATE EMPLOYEES' ASSISTANCE PROGRAM

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

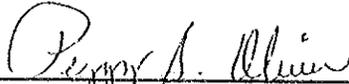
STATE EMPLOYEES' ASSISTANCE PROGRAM

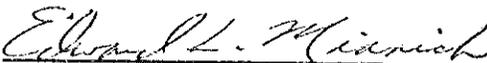
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention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

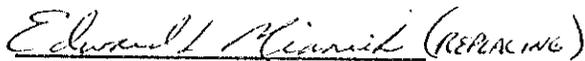
STATE EMPLOYEES' ASSISTANCE PROGRAM

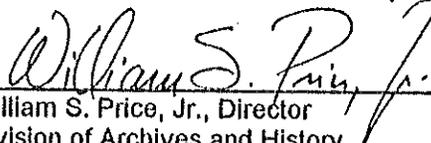
agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED

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

  
Edward L. Minnich, Director  
State Employees' Assistance Program

  
Sam W. Badgett, Director  
Employee Services Division

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

APPROVED

  
Richard V. Lee, Director  
Office of State Personnel

  
Betty Ray McCain, Secretary  
Department of Cultural Resources

March 22, 1993

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.

DWM

**OFFICE OF STATE HUMAN RESOURCES  
EMPLOYEE RELATIONS AND LOCAL GOVERNMENT DIVISION  
EMPLOYEE RELATIONS SECTION**

**ITEM 166. STATE PERSONNEL COMMISSION MINUTES FILE**

Minutes of each meeting of the State Personnel Commission. File also includes the approval of previous minutes, state personnel director reports, agency grievance procedures, documentation on job classifications and salaries, in-range salary adjustment plans, oral arguments, and the executive session of the state personnel commission meetings. (Employee Relations Section will prepare and arrange records for microfilming prior to boxing records for transfer to the State Records Center.) (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 years 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. Transfer a duplicate copy of the official signed minutes to the State Records Center after each meeting for security storage. The duplicate copy will be destroyed in the State Records Center when original records microfilmed.

**ITEM 167. AGENDAS OF STATE PERSONNEL COMMISSION MEETINGS FILE**

Agendas of State Personnel Commission meetings. File also includes documentation on business session and employee appeals of the State Personnel Commission meetings.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 169. EMPLOYEE GRIEVANCE APPEALS FILE**

Notice of hearings, evidence from hearings, transcripts or tapes of hearings, correspondence, proposed decisions, and orders concerning employees' appeals.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 2 additional years and then destroyed.

**ITEM 10824. MINUTES OF STATE PERSONNEL COMMISSION (TAPE RECORDINGS) FILE**

Tape recordings of State Personnel Commission meetings. Tapes include recordings of public hearings, business sessions, approval of minutes, and oral arguments of employee appeals.

DISPOSITION INSTRUCTIONS: Erase in office transcribed tapes when reference value ends.

**ITEM 28213. DIRECTIVES (LEGAL) FILE**

Directives or policy statements in the form of letters and transmittals issued by the State Personnel Committee of the Office of State Human Resources.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when legal 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 40877. LITIGATION CASE LOG DATABASE (ELECTRONIC) FILE**

Lawsuits concerning discrimination, promotion denial, and sexual harassment. File includes case names, attorney names, administrative law judges' recommendations, dates records were received, dates contested cases filed, type of cases, deadline for filing, and other related records. (Electronic database files reside on Employee Services Division Local Area Network (LAN) Server.)

DISPOSITION INSTRUCTIONS: Update in office electronic file routinely.

**OFFICE OF STATE HUMAN RESOURCES  
EMPLOYEE RELATIONS AND LOCAL GOVERNMENT DIVISION  
PUBLICATIONS SECTION**

**ITEM 28460. GOVERNOR'S AWARDS FOR EXCELLENCE PROGRAM FILE**

Records concerning annual awards given by the Governor to state employees in recognition of their outstanding service to the state. File includes administrative interpretations.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

**ITEM 28461. GOVERNOR'S COMMITTEE FOR RECOGNITION OF STATE EMPLOYEES FILE**

Records concerning committee members appointed by the Governor to serve on his committee to select state employees recognized for outstanding service to the state. File includes lists of committee members.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 28462. NOMINEES FILE**

Records concerning nominees for the annual Governor's Awards for Excellence Program. File includes background information regarding each nominee.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**ITEM 28464. RECIPIENTS FILE**

Records concerning recipients of the annual Governor's awards.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

**OFFICE OF STATE HUMAN RESOURCES  
EMPLOYEE RELATIONS AND LOCAL GOVERNMENT DIVISION  
STATE EMPLOYEES' ASSISTANCE PROGRAM**

**ITEM 35038. CASES FILE**

Records concerning clients of the State Employees' Assistance Program. File includes completed assessment and referral forms, completed assessment summary forms, completed forms giving clients' consent to release of information, correspondence, and other related records. Clients' names, case numbers, dates of birth, social security numbers, types of problems experienced by clients, and other related data are entered into Cases Database (Electronic) File (Item 35039) and routinely updated. (Comply with applicable provisions of 25 NCAC 1J.1009, and G.S. 126-22, 126-23, 126-24, and Article 3 of G.S. 122C regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office by shredding 3 years after termination of counseling if no official action involving the records has been initiated. If official action has been initiated, destroy in office by shredding after completion of action and resolution of issues involved.

**ITEM 35039. CASES DATABASE (ELECTRONIC) FILE**

Machine readable records concerning clients of the State Employees' Assistance Program. Clients' names, case numbers, dates of birth, social security numbers, types of problems experienced by clients, names of state agencies for which clients work, and other related data are entered into this electronic file. (Comply with applicable provisions of 25 NCAC 1J.1009, and G.S. 126-22, 126-23, 126-24, and Article 3 of G.S. 122C regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Transfer 1 security copy of each floppy disk to an off-site location for backup storage. Agency representative will update periodically. Erase in office floppy disks when reference value ends.

**ITEM 35040. INDEX TO CASES FILE**

Index cards listing clients' names, case numbers, dates of counseling, and other related information. (Comply with applicable provisions of 25 NCAC 1J.1009, and G.S. 126-22, 126-23, 126-24, and Article 3 of G.S. 122C regarding confidentiality of records.)

DISPOSITION INSTRUCTIONS: Destroy in office by shredding 3 years after termination of counseling.

**ITEM 35045. PROGRAM DEVELOPMENT FILE**

Records concerning the development of the State Employees' Assistance Program. File includes descriptions of the program, drafts of policies, brochures, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when reference 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 35047. REPORTS FILE**

Six-month and end-of-fiscal-year reports submitted to personnel directors of state agencies listing numbers of clients from the agency participating in the State Employees' Assistance Program, types of problems experienced by clients, and other related information. Problems experienced by clients, names of state agencies for which clients work, and other related data are entered into Cases Database (Electronic) File (Item 35039) in order to generate these reports.

DISPOSITION INSTRUCTIONS: Transfer 1 copy of each report to the State Records Center after 5 years. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives. Destroy in office remaining reports when administrative value ends.