

## 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.

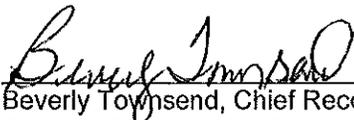
The Office of State Human Resources and the Department of Cultural Resources agree that certain records series possess only brief administrative, fiscal, legal, research, and reference value. These records series have been designated by retention periods which allow them to be destroyed when "administrative/reference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

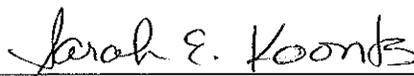
E-mail messages sent or received by Executive Branch agencies shall be retained for 5 years pursuant to Executive Order No. 12 (issued May 21, 2013 by Governor Pat McCrory). Any e-mail messages requiring retention longer than 5 years, including those with permanent historical value, shall be designated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

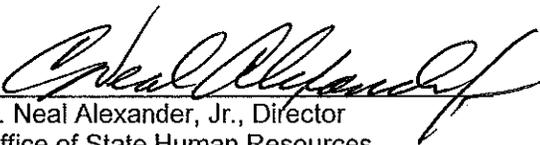


Beverly Townsend, Chief Records Officer  
Office of State Human Resources



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  
EQUAL OPPORTUNITY 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

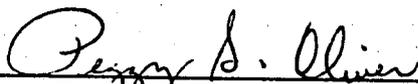
EQUAL OPPORTUNITY SERVICES DIVISION

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

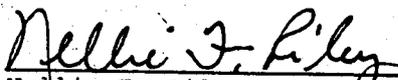
EQUAL OPPORTUNITY SERVICES DIVISION

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.

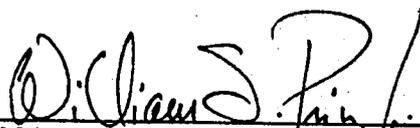
APPROVAL RECOMMENDED



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



Nellie F. Riley, Director  
Equal Opportunity Services Division

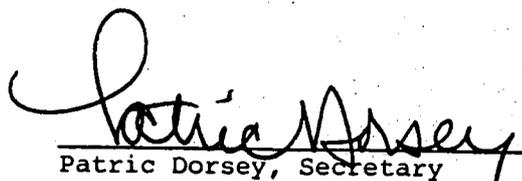


William S. Price, Jr., Director  
Division of Archives and History

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.

July 5, 1989

HFH

**OFFICE OF STATE HUMAN RESOURCES  
EQUAL EMPLOYMENT OPPORTUNITY, DIVERSITY, AND INCLUSION DIVISION  
ADMINISTRATIVE SECTION**

**ITEM 3570. AFFIRMATIVE ACTION CORRESPONDENCE FILE**

Correspondence and memorandums created and received in office concerning the affirmative action program.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 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 3571. AFFIRMATIVE ACTIONS PLANS FILE**

Plans, outlines, timetables, goals, objectives, and report forms that are used to document departmental, agency, and university compliance with federal and state affirmative action guidelines and regulations.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 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 3572. AFFIRMATIVE ACTION PROGRESS REPORTS AND STUDIES FILE**

Annual reports and studies concerning the state's affirmative action program.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 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 10821. WORKFORCE STATISTICS FILE**

Statistical reports concerning demographic aspects of the state's workforce that determine the effectiveness and equity of personnel administration in state government. File also includes completed forms and computer printouts listing workforce statistics, affirmative action progress and status reports, and other related records. Amended 7-1-93

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 5 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 11247. EQUAL EMPLOYMENT OPPORTUNITY (EEO-4) FILE**

Records concerning the state's goal to provide equal employment opportunity to the citizens of North Carolina as required by the federal government. File includes EEO-4 reports and related correspondence. Amended 4-3-00

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

**ITEM 11248. GOALS AND OBJECTIVES FILE**

Office goals and objectives.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11249. GRANTS (PROPOSALS) FILE**

Proposals submitted for grants. File includes applications, correspondence, and other related records.

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 3 year(s). Records will be held for agency in the State Records Center 5 additional years and then destroyed.

**ITEM 11251. GUIDELINES FILE**

Official office guidelines.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**OFFICE OF STATE HUMAN RESOURCES  
EQUAL EMPLOYMENT OPPORTUNITY, DIVERSITY, AND INCLUSION DIVISION  
ADMINISTRATIVE SECTION**

**ITEM 11252. HISTORIES FILE**

Records concerning the history of the Equal Opportunity Services Division.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

**ITEM 11258. ORGANIZATION CHARTS FILE**

Charts indicating administrative lines of responsibility.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11264. RESEARCH AND STUDIES FILE**

Research and study records concerning or affecting office. File includes publications, 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.

**OFFICE OF STATE HUMAN RESOURCES  
EQUAL EMPLOYMENT OPPORTUNITY, DIVERSITY, AND INCLUSION DIVISION  
SUPPORT PROGRAMS AND SPECIAL PROJECTS SECTION**

**ITEM 2094. SPECIAL PROJECTS FILE**

Records concerning special projects which are funded by federal or state appropriations and which concern affirmative action programs. File includes reports listing activities of the Equal Employment Opportunity, Model Cooperative Education, New Horizons, Positive Emphasis, and Skills Bank programs; correspondence; and other related records. Amended 7-1-93

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center after 4 years and when released from all audits, whichever occurs later. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**ITEM 11168. EQUAL EMPLOYMENT OPPORTUNITY INSTITUTE FILE**

Records concerning training of managers and supervisors on issues relating to their roles and responsibilities to assure equal opportunities in employment for state government employees. File includes manuals, brochures, correspondence, evaluations, and other related records concerning efforts to support the state's affirmative action program.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11169. MODEL COOPERATIVE EDUCATION FILE**

Records concerning recruitment, referrals, and career placement of college students in work experience activities. File includes correspondence, manuals, brochures, evaluations, and other related records concerning efforts to support the state's affirmative action program.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11170. NEW HORIZONS FILE**

Records concerning upward mobility for women and minorities throughout state government. File includes correspondence, manuals, brochures, evaluations, and other related records. (Activities of this program are documented in reports found in Special Projects File (Item 2094).) Amended 7-1-93

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11171. POSITIVE EMPHASIS FILE**

Records concerning the state's effort to employ individuals with disabilities. File includes manuals, brochures, correspondence, evaluations, and other related records. (Activities of this program are documented in reports found in Special Projects File (Item 2094).) Amended 7-1-93

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

**ITEM 11172. SKILLS BANK FILE**

Applications for employment of women, minorities, and handicapped individuals interested in obtaining state employment. File includes correspondence, evaluations, and other related records concerning efforts to support the state's affirmative action program.

DISPOSITION INSTRUCTIONS: Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office applications and other records that are unsolicited and for individuals not hired 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.