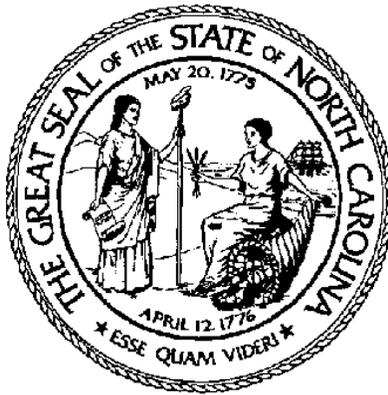


GENERAL SCHEDULE FOR STATE AGENCY RECORDS



Issued By:

North Carolina Department of Cultural Resources
Office of Archives and History
Division of Historical Resources
Archives and Records Section
Government Records Branch

August 31, 2009

NORTH CAROLINA DEPARTMENT OF CULTURAL RESOURCES
Linda A. Carlisle
Secretary

OFFICE OF ARCHIVES AND HISTORY
Jeffrey J. Crow
Deputy Secretary

DIVISION OF HISTORICAL RESOURCES
David Brook
Director

ARCHIVES AND RECORDS SECTION
Dick Lankford
State Archivist

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Freddie L. Parker (2013)
Paul D. Escott (2013)
David C. Dennard (2015)
Millie M. Barbee (2015)
Valerie A. Johnson (2015)

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

**Government Records Branch
Archives and Records Section
Division of Historical Resources
Office of Archives and History**

Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

GENERAL SCHEDULE FOR STATE AGENCY RECORDS

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 agencies government of the State of North Carolina listed on this

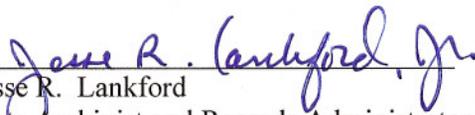
GENERAL SCHEDULE FOR STATE AGENCY RECORDS

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. Records subject to audit or those legally required for ongoing official proceedings, however, 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 are not authorized to be destroyed.** State agencies are instructed to destroy or dispose of records in the manner and at the times specified in this

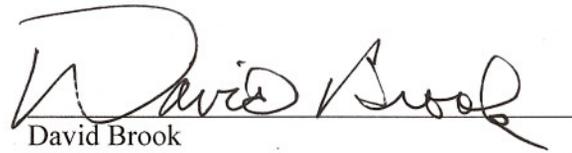
GENERAL SCHEDULE FOR STATE AGENCY RECORDS

This schedule to remain in effect until superseded.

APPROVAL RECOMMENDED



Jesse R. Lankford
State Archivist and Records Administrator
Archives and Records Section
Division of Historical Resources



David Brook
Director
Division of Historical Resources

APPROVED



Britt Cobb, Secretary
Department of Administration



Linda A. Carlisle, Secretary
Department of Cultural Resources

August 31, 2009

**THE FOLLOWING ITEMS FROM THE NEW GENERAL SCHEDULE APPROVED
AUGUST 31, 2009 HAVE BEEN ADDED.**

E-MAIL RECORDS:

Item G1. E-Mail Messages File.

BUDGET RECORDS:

Item G77. Credit Card Third Party Use File.

INFORMATION TECHNOLOGY RECORD:

Item G140. Computer Security File

**THE FOLLOWING ITEMS FROM THE NEW GENERAL SCHEDULE APPROVED
AUGUST 31, 2009 HAVE BEEN AMENDED.**

ADMINISTRATIVE RECORDS:

Item G15. Emergency Management File.

Item G35. Publications Received File.

BUDGET RECORDS:

Item G76. Credit Card Employee Use File.

Item G81. Earnings File.

INFORMATION TECHNOLOGY RECORD:

Item G121. Agency Information Technology and Data Processing Services Planning
File.

Item G129. Automated Program Listing Source Code File.

Item G135. Test Database File.

Item G139. Computer Run Scheduling File.

Item G141. Computer Security Incident File.

Item G144. Data Processing Operating Procedure File.

Item G158. System Backup File.

PERSONNEL RECORDS:

Item G219. Training Records File

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Street address:
215 N. Blount St.
Raleigh, NC 27601-2823
Phone: 919.733.3540

**Government Records Branch
Archives and Records Section
Division of Historical Resources
Office of Archives and History**

Mailing address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

**ABOUT RECORDS RETENTION AND DISPOSITION SCHEDULES
IN NORTH CAROLINA STATE GOVERNMENT**

Records may be destroyed *only* on the basis of both the program records schedule developed for your office and the *General Schedule for State Agency Records*, or schedules approved by the Department of Cultural Resources and other agencies to regulate the destruction of records. The consistent and routine implementation of the disposition instructions listed in these schedules provides the proper and legal foundation for the disposition of public records through destruction or transfer to the State Records Center. Your program records disposition schedule lists those program-specific records maintained in your office as reported to the Division of Historical Resources. It lists only those records that are unique to your office, whether they are to be destroyed in your office or transferred to the State Records Center and in some cases, ultimately to the Archives. The General Schedule addresses records commonly found in agencies throughout state government, provides uniform descriptions and disposition instructions, and indicates minimum retention periods. Every schedule provides a brief description of each records group (following the item identification number) and instructions for their authorized disposition (following the words "DISPOSITION INSTRUCTIONS"). Use of this *General Schedule* does not require further authorization to dispose of records listed in this schedule.

Executive Order No. 18 issued July 7, 2009, mandates that electronic mail (e-mail) messages sent or received by employees in transacting state business must be maintained for ten years. As a result, an E-mail Messages File item has been added as a new category of records to this General Schedule (Item G1). Executive Order No. 18 further mandates that e-mail messages not be permanently deleted from an individual's mail account for at least 24 hours from transmittal or receipt. However, e-mail messages received by employees not clearly related to the transaction of state business may be immediately and permanently deleted, such as e-mails containing advertising materials or offensive materials. It shall be the responsibility of the Office of Information Technology Services (ITS) to provide backup service to all state agencies for which it provides e-mail services so that backup copies of all covered e-mail messages are retained for the ten-year retention period as set forth in Item G1 of this General Schedule. State agencies which do not use ITS for their e-mail services shall employ a backup system to ensure retention of e-mail messages for the prescribed ten-year retention period. Please refer to Executive Order No. 18 (see Addendum 2) for further information on state agencies' and employees' responsibilities relating to the retention of e-mail messages and mandatory online employee training. E-mails with historical value will be designated with longer retention periods within program specific retention schedules. Please consult both this General Schedule and your agency's program specific retention schedules to determine the ultimate disposition of e-mails in your custody.

Authority for these disposition instructions is contained in Chapters 121 and 132 of the *General Statutes of North Carolina*. Compliance with the disposition instructions listed will help assure conformity with these laws. Compliance will also help assure that records of continuing value are retained and those no longer of value are destroyed. Procedures to be followed in applying this schedule are explained in the N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section 500. Errors and omissions in individual record series do not invalidate approved schedules or render them obsolete. All provisions of these schedules remain in effect until they are officially superseded.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

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Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

Supervisors or other responsible office personnel, acting through their Records Officers, are requested to notify the Government Records Branch whenever corrections, additions, or deletions in program records schedules should be made. Government Records Branch personnel will then amend that schedule in order to ensure that it remains complete and accurate.

The **official** published version of the *General Schedule* is available through the Government Records Branch's site on the World Wide Web (www), currently located at the following address (please note that this address is subject to change over time):

<http://www.records.ncdcr.gov/stateagy.htm#gs>

All changes and amendments to this *General Schedule* will also be published on the website for the Government Records Branch.

The Government Records Branch will provide, upon request, the following assistance to agencies in the maintenance and operation of records schedules: amendment or update of existing program schedules; supply and delivery of boxes, tape and labels for records listed on program schedules as scheduled to be transferred to the State Records Center; pickup of records to be transferred; reference service on records stored in the State Records Center; and advice and technical assistance in solving records management problems. Fees are charged for supplies.

In addition, the Government Records Branch offers a series of workshops on records management, including electronic and e-mail records, conducted at its facility and, upon request, at an agency's offices. The schedule for the workshops conducted at the Government Records Branch's facility is available at < <http://www.records.ncdcr.gov/workshops.htm#stateag> >. The Government Records Branch also offers on-line tutorials on Managing Public Records, Managing Electronic Records, and Managing Email. These tutorials can be found at <http://www.records.ncdcr.gov/workshops.htm> .

Except in a few specific instances, the records series in this *General Schedule* are intended to cover duplicate or reference copies of records, whether in paper or electronic or other media or formats. This *General Schedule* is not intended to apply to records that document a specific function or program (records that are often called "record" or "original" copies). In these cases and in all cases in which doubt may exist about the status of records, agency offices should work with agency Records Officers, supervisors, and their assigned analyst in the Government Records Branch to make clear the responsibilities for maintaining "record" copies of documentation.

New, updated, or amended program schedules for state agencies have been published on the Government Records Website since August, 2002. These are available at:

<http://www.stateschedules.ncdcr.gov/>

For further guidance regarding the creation and handling of public records, the following documents are available on the Government Records Branch website:

E-mail as a Public Record in North Carolina: A Policy for Its Retention and Disposition, at

http://www.records.ncdcr.gov/erecords/Email_Policy.pdf

Guidelines for E-mail as a Public Record in North Carolina: Tips and Tricks for Using Microsoft Exchange Software to Manage E-mail, at

http://www.records.ncdcr.gov/erecords/Email_Guidelines.pdf

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Raleigh, NC 27699-4615
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Best Practices for File-Naming, at
http://www.records.ncdcr.gov/erecords/filenaming_20080508_final.pdf

Guidelines for Digital Imaging Systems, at
<http://www.records.ncdcr.gov/erecords/default.htm#dig>

*Security Backup Files as Public Records in North Carolina:
Guidelines for the Recycling, Destruction, Erasure, and
Re-Use of Security Backup Files*, at
<http://www.records.ncdcr.gov/erecords/BackupsProcedsfinal020822.pdf>

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Raleigh, NC 27601-2823
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Archives and Records Section
Division of Historical Resources
Office of Archives and History**

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4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

GENERAL SCHEDULE FOR STATE AGENCY RECORDS
INFORMATION TECHNOLOGY RECORDS

(Adapted from and based upon the *GENERAL RETENTION AND DISPOSITION SCHEDULE FOR NEW YORK STATE GOVERNMENT RECORDS, Part 3 - Electronic Data Processing Section*, published by the New York State Archives, Government Records Services. Effective January 2008.)

Information technology (or electronic data processing) encompasses all activities undertaken by agencies to design, develop, and operate electronic information systems. This section covers records for which Information Technology (IT) units are responsible, including administrative records and those used to process data and monitor and control operations. This section does not cover records created to support specific operations in program units outside the IT organization. Records retained to meet program-specific requirements outside the IT unit must be scheduled separately by the unit with the responsibility and authority to determine their retention requirements and final disposition.

Records series and disposition instructions for the IT section are subdivided into six functional areas as follows:

- General Administration
- Systems and Application Development
- Computer Operations and Technical Support
- Data Administration
- IT Support
- Network/Data Communication Services

Records may exist in paper, electronic, or other media and in varying formats. Records series descriptions and disposition instructions apply to the records concerned regardless of medium or format.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

Government Records Branch
Archives and Records Section
Division of Historical Resources
Office of Archives and History

Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

ITEM G1. E-Mail Messages File. Electronic mail (e-mail) messages sent or received pursuant to law or ordinance in connection with the transaction of public business by any executive branch agency.

DISPOSITION INSTRUCTIONS: E-mails sent or received shall not be permanently deleted or moved from an employee's e-mail account for at least 24 hours, except that any e-mail messages received that are not clearly related to the transaction of State business, such as e-mails containing advertising materials or offensive materials may be immediately and permanently deleted. E-mail messages sent or received will be retained in an e-mail archive system for 10 years unless an applicable state agency records retention and disposition schedule prescribes a longer retention period, such as permanent retention. Employees may delete or remove e-mails from their email account after 24 hours. Executive Branch agencies not covered by Executive Order No. 18 the Legislative Branch and Judicial Branch are encouraged to follow this general schedule for state agency records. Agencies and branches not covered by Executive Order No. 18 should consult their program records retention and disposition schedules for how to manage e-mail messages.

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ITEM G2. Accident Reports File. Records concerning accidents involving agency employees or equipment.

DISPOSITION INSTRUCTIONS: Transfer records resulting in workers' compensation claims to Workers' Compensation Litigation and Claims File (Item G50). Destroy in office remaining records after 3 years 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.

ITEM G3. Administrative File. Records concerning daily operations of the office.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G4. Administrative Reports File. Administrative, biennial, and annual reports submitted to or produced by the office.

DISPOSITION INSTRUCTIONS: Retain in office 1 copy of biennial and annual reports permanently. Destroy in office remaining records after 3 years.

ITEM G5. Announcements File. Announcements made by the agency concerning activities, employees, services, and other related matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM G6. Associations and Committees File. Records concerning local, state, or national associations and committees with which agency or staff is involved.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM G7. Attorney General Opinions and Rulings File. Reference copies of legal opinions and rulings and related records prepared by the Department of Justice.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G8. Building Maintenance, Housekeeping, and Repairs File. Records concerning maintenance, housekeeping, and repair services conducted for agency buildings and facilities.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G9. Bulletins File. Reference copies of administrative notices, informational bulletins, and circulars issued by agency officials.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G10. Calendars of Events File. Listings of agency events.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G11. Catalogs File. Catalogs and descriptive literature concerning equipment, supplies, and other commodities.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G12. Complaints File. Complaints made by and received from citizens and employees.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after settlement of complaint 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.

ITEM G13. Conferences and Workshops File. Records concerning conferences and workshops conducted by or attended by agency employees.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G14. Discrimination Complaints File. Records concerning formal discrimination complaints and allegations filed against the agency.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after settlement of complaint 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.

ITEM G15. Emergency Management File. Records concerning evacuations, preparations for disasters, and operations in the event of disasters. (Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of security records.)

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G16. Emergency Notification File. Records concerning the notification of personnel in the event of an emergency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G17. Energy Conservation File. Records concerning energy conservation measures.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM G18. Equipment Maintenance File. Records concerning maintenance services conducted on equipment.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after completion of service.

ITEM G19. Facility Accessibility File. Records concerning the agency's efforts to comply with the Americans with Disabilities Act (ADA).

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years if no litigation, claim, audit or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM G20. Fire, Health, and Safety File. Records concerning office safety measures.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G21. Incident Reports File. Records concerning incidents at agency facilities.

DISPOSITION INSTRUCTIONS: Transfer records resulting in workers' compensation claims or litigation to Workers' Compensation Litigation and Claims File (Item G50). Destroy in office remaining records after 3 years if no litigation, claim, audit or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM G22. Inspections File. Reports detailing health and safety inspections of agency facilities.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G23. Insurance Policies File. Records concerning insurance policies held by the agency.

DISPOSITION INSTRUCTIONS: Destroy in office 6 years after termination or expiration of policy 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.

ITEM G24. Invitations File. Invitations sent and received concerning agency and external functions.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G25. Itineraries File. Records concerning scheduled plans of agency personnel.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G26. Legal Correspondence and Memorandums File. Office correspondence and memorandums concerning legal matters not related to specific legal cases or official opinions.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G27. Mail Services File. Records concerning the agency's use of mail services.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G28. Mailing Lists and Media File. Mailing lists of individuals, organizations, and agencies receiving press releases and other public information.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G29. Meetings Data File. Records concerning public and staff meetings. (File does not include official, approved minutes required by law to be signed.)

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G30. Newspaper Clippings File. Newspaper clippings concerning the agency, agency officials, and other topics of interest.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G31. Occupational Safety and Health Administration (OSHA) File. Records concerning Occupational Safety and Health Administration (OSHA) policies and programs.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G32. Parking Assignments File. Records concerning staff parking assignments.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G33. Policies, Procedures, and Regulations File. Reference copies of agency policies, procedures and regulations.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G34. Publications File. Publications produced by the agency.

DISPOSITION INSTRUCTIONS: Transfer 10 or more copies (as required) of each publication to the State Documents Clearinghouse, State Library of North Carolina, when received from printer, in accordance with G.S. 125-11.8 (b). For electronic publications only, transfer 1 copy to the State Document Clearinghouse, State Library of North Carolina. Contact the State Document Clearinghouse, State Library of North Carolina before the transfer of electronic publications. Destroy in office remaining copies and related records when reference value ends.

ITEM G35. Publications Received File. Records concerning external publications received by the agency.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G36. Publicity File. Reference copies of records concerning publicity by and about the agency.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G37. Records Management File. Records concerning the management of the office's records.

DISPOSITION INSTRUCTIONS: Retain in office transfer forms and destruction logs permanently. Destroy in office program records retention and disposition schedule when superseded. Destroy in office remaining records when administrative value ends.

ITEM G38. Reference File. Records concerning subjects of interest to the agency.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G39. Requests for Information File. Requests received and responses issued by the agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM G40. Security File. Records concerning the security of the office, its equipment, and office personnel. (Comply with applicable provisions of G.S. 132-6.1(c) regarding the confidentiality of security records.)

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G41. Supplies and Equipment File. Records concerning supplies and equipment.

DISPOSITION INSTRUCTIONS: Destroy in office inventories when superseded. Dispose of warranties and operating manuals in accordance with instructions of State Surplus Property Office upon final disposition of equipment. Destroy in office accounting records after disposition of equipment and when released from all audits, whichever occurs later. Destroy in office remaining records when superseded or obsolete.

ITEM G42. Surplus Property File. Inventories and other related records concerning surplus property and its disposition.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after disposition of property 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.

ITEM G43. Vehicle Titles File. Titles of state owned vehicles under the jurisdiction of the agency.

DISPOSITION INSTRUCTIONS: Dispose of in accordance with instructions by State Surplus Property Office upon disposition of vehicle.

ITEM G44. Vehicles File. Records concerning office's use of state-owned vehicles.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G45. Visitor Monitoring File. Logs, registers, and other related records concerning the monitoring of visitors.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM G46. Visual Aids File. Slides, charts, transparencies, and other related records used in presentations, in machine-readable and eye-readable formats.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G47. Web Site File. Records created and/or maintained in paper and/or electronic formats concerning the creation and maintenance of the agency's presence on the World Wide Web (WWW). File includes correspondence, procedures, instructions, Web site designs; HTML/XHTML, or other Web based file formats, and other related records. (Copies of state agency Web sites will be cataloged by the Electronic Records Unit, which will make information about the Web sites available. All state agency Web sites are scheduled in the WEB SITE PRESERVATION FILE, Item 47744, in the schedule of the Electronic Records Unit, Department of Cultural Resources, Division of Historical Resources, Archives and Records Section, Government Records Branch.)

DISPOSITION INSTRUCTIONS: The Archives will periodically retrieve state agency Web sites from the Internet and transfer them to the custody of the Archives for permanent retention. Agencies which choose not to participate in the automatic retrieval of Web sites by contacting the Archives, or whose Web site cannot be captured for technical reasons, shall create Web site snapshots annually or whenever a major revision has taken place, whichever occurs first, and transfer them to the custody of the Archives for permanent retention. Contact the Electronic Records Unit of the Government Records Branch before the transfer of electronic records. Destroy in office remaining records when administrative value ends.

ITEM G48. Work Orders File. Work orders submitted for the maintenance and repair of equipment and facilities.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after completion of work.

ITEM G49. Work Schedules File. Records concerning shift and duty assignments.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM G50. Workers' Compensation Litigation and Claims File. Records concerning workers' compensation claims filed by employees' supervisors concerning accidental injuries or illnesses suffered on the job. File includes Employer's Report of Employee's Injury (Form 19), accident investigation reports, medical reports, Notice of Accident to Employer and Cause of Employee (Form 18), reference copies of medical invoices, and other related records. File also includes reference copies. (Records concerning claims filed for injuries which occurred prior to July 6, 1994 are considered permanent records in compliance with *Hylar v. GTE Prods. Co.*, 333 N.C. 258 S.E.2d 698 (1993).) (Comply with applicable provisions of G.S. 8-53, G.S. 97-92(b), and G.S. 126 Article 7 regarding the confidentiality records.)

DISPOSITION INSTRUCTIONS: Retain in office records concerning claims filed for injuries which occurred prior to July 6, 1994 permanently. Transfer official copy of claim records to the Industrial Commission in compliance with G.S. 97-92(a), and in accordance with Office of State Personnel procedures. Retain in office records concerning claims filed for injuries which occurred on or after July 6, 1994, where the Industrial Commission form "Employee's Application for Additional Medical Compensation Pursuant to N.C. Gen. Stat. § 97-25.1" (Form 18M) has been filed, permanently. Destroy remaining records in office after 5 years, in accordance with G.S. 97-24(c), 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.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

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Fax: 919.715.3627

Also available are the [Standard Disposition Instructions for North Carolina Accounting System \(NCAS\) Reports](#), which provides records retention and disposition instructions for routine reports.

ITEM G51. Accounts Payable File. Records concerning the status of accounts in which the state owes money to firms or individuals.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G52. Accounts Receivable File. Records of accounts receivable.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G53. Accounts Uncollectable File. Records concerning the status of accounts in which money cannot be collected.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after account is paid, collected, or is determined to be uncollectable 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.

ITEM G54. Annual Reports File. Reference copies of reports documenting final financial actions during the completed fiscal year.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G55. Audit Reports File. Reference copies of audit reports and other records reflecting the financial status of an agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G56. Bank Statements File. Bank statements for government accounts.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G57. Bids File. Records concerning the purchase of equipment, supplies, or services. (Comply with applicable provisions of G.S. 143-52, 143-53, and NCAC T01:05B regarding the confidentiality of bids.)

DISPOSITION INSTRUCTIONS: Transfer records concerning successful and unsuccessful bids to the Contracts, Agreements and Leases File (Item G74) when bid is approved.

ITEM G58. Bond Book File. Records concerning deposits and withdrawals on bonds held by agency.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies 5 years after bond has been cancelled or has expired, 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. Destroy in office remaining records when bond is cancelled or expires.

ITEM G59. Bond Issues File. Records concerning the sale, purchase, and exchange of bonds issued by the state.

DISPOSITION INSTRUCTIONS: Retain official copies permanently. Destroy in office audit copies 2 years after expiration of bond. Destroy in office remaining records after 1 year.

ITEM G60. Bonds and Other Borrowing File. Bond indentures, legal documents, and other related records concerning bonds and other forms of borrowing by the agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year 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.

ITEM G61. Budget Administration File. Records concerning the administration of budgets.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G62. Budget Analysis File. Records concerning the history and administration of unit budgets.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G63. Budget Certification File. Reference copies of records documenting each budget's certification by the Office of State Budget and Management.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G64. Budget Correspondence File. Correspondence and other related records concerning budget-related topics.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G65. Budget File. Office budgetary records.

DISPOSITION INSTRUCTIONS: Destroy in office end-of-year (June 30th) budget reports when reference value ends. Destroy in office remaining records after 5 years 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.

ITEM G66. Budget Reports File. Statistical reports generated to support the budget process not produced by the North Carolina Accounting System (NCAS).

DISPOSITION INSTRUCTIONS: Destroy in office official copies after 10 years. Destroy in office remaining records after 1 year.

ITEM G67. Budget Requests File. Budget request forms and briefs concerning capital improvements, expansions, and maintenance projects.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies 3 years after completion of project 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. Destroy in office remaining records upon completion of project.

ITEM G68. Budget Revisions File. Records concerning revisions of and amendments to agency budgets.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G69. Capital Improvements File. Reference copies of records concerning capital improvements submitted by agencies and institutions that are under the fiscal control of the Office of State Budget and Management.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after project is completed 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.

ITEM G70. Capital Improvements Funds Monthly Report File. Reference copies of records concerning capital improvement funds transactions.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after project is completed 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.

ITEM G71. Capital Improvements Support File. Reference copies of vouchers, checks, purchase orders, and other supporting documentation concerning capital improvements.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after project is completed 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.

ITEM G72. Cash Receipts and Journals File. Receipts and journals for money collected.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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. Destroy in office remaining records after 1 year.

ITEM G73. Check Stubs File. Stubs for checks written on agency accounts.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 3 years 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. Destroy in office remaining records after 1 year.

ITEM G74. Contracts, Agreements, and Leases File. Contracts, agreements, and leases with consultants, vendors, and other firms concerning services, equipment, and other obligations.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after expiration of contract or 10 years after expiration of sealed 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.

ITEM G75. Cost Accounting Reports File. Completed cost accounting reports for agency expenditures.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G76. Credit Card Employee Use File. Receipts concerning the use and ownership of credit cards used by office employees.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G77. Credit Card Third Party Use File. Records created in association with credit card transactions entered into by third parties for the purchase of goods or services from the state, such as for the payment of DMV registration fees, permits, licenses, and notary fees. (Comply with applicable provisions of G.S. 132-2 and 132-1.20 regarding the confidentiality of credit card information)

DISPOSITION INSTRUCTIONS: Destroy in office after 18 months 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.

ITEM G78. Deposits File. Deposit slips for money deposited.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 3 years 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. Destroy in office remaining records after 1 year.

ITEM G79. Direct Deposit Forms File. Bank deposit slips submitted by employees for direct deposit of paychecks by agency.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G80. Disbursing Accounts Statements File. Monthly statements received from the Department of the State Treasurer indicating monthly activity, beginning and ending balance, and other related information for each disbursing account.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years 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. Destroy in office remaining records after 1 year.

ITEM G81. Earnings File. Time sheets and other related records detailing earnings of employees.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 4 years 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. Destroy in office remaining records after 1 year. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

ITEM G82. Escheats File. Records concerning escheated funds reverting to the State of North Carolina and credited to the State Treasurer.

DISPOSITION INSTRUCTIONS: Destroy in office audit copies after 7 years 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. Destroy in office remaining records after 1 year.

ITEM G83. Fiscal Correspondence (Budget Detail Sheet) File. Records concerning changes in budgets, funds, requests for additional or revised allotments, and other related material.

DISPOSITION INSTRUCTIONS: Destroy in office audit copies after 2 years 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. Destroy in office remaining records after 1 year.

ITEM G84. Fixed Assets File. Inventories of fixed assets.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years 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.

ITEM G85. Fund Applications File. Applications for funds concerning various projects funded by or for the office.

DISPOSITION INSTRUCTIONS: Destroy in office official copies after 3 years. Destroy in office audit copies after 1 year 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. Destroy in office remaining records after 1 year.

ITEM G86. General Ledger File. General ledger data concerning budget code transactions not produced by the N.C. Accounting System (NCAS).

DISPOSITION INSTRUCTIONS: Destroy in office each June 30th report after 4 years 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. Destroy in office remaining records after 1 year 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.

ITEM G87. Increments File. Records concerning increment increases in an employee's salary. (Comply with applicable provisions of 5 USC Section 552a regarding confidentiality of records maintained on individuals and G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years 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.

ITEM G88. Insurance Deductions File. Records concerning insurance deductions from each employee's salary. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years 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.

ITEM G89. Invoices File. Invoices concerning purchased materials.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G90. Lapsed Salaries File. Records concerning lapsed salaries. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G91. Legislative Salary Increases File. Records concerning salary increases mandated by legislative action. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G92. Loans File. Records concerning loans, scholarships, and business assistance.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies 5 years after repayment or elimination of loan 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. Destroy in office remaining records 1 year after termination or elimination of loan.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

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Office of Archives and History**

Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

ITEM G93. Mail Transmittal Slips File. Mail transmittal slips used to account for postage.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 1 year 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. Destroy in office remaining records after 6 months.

ITEM G94. Monthly Budget Reports File. Reference copies of monthly budget reports and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years 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.

ITEM G95. Outstanding or Overdue Bills File. Records concerning overdue bills for funds owed to the agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G96. Payroll Deductions File. Records concerning salary deductions. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office official copies 7 years after deduction is terminated 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. Destroy in office remaining records after 1 year 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.

ITEM G97. Payroll File. Records concerning salaries paid to permanent and temporary employees. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer administrative data documenting personnel actions to appropriate individual personnel file when action is approved. Destroy in office remaining records after 7 years 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.

ITEM G98. Price Quotations File. Records listing costs of goods.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies 1 year after superseded 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. Destroy in office remaining records when administrative value ends.

ITEM G99. Procurements and Purchasing File. Records concerning procurements and purchases for the office.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years 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.

ITEM G100. Purchase Orders File. Purchase orders.

DISPOSITION INSTRUCTIONS: Destroy in office official copies after 5 years 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. Destroy in office remaining records after 2 years.

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ITEM G101. Reconciliation Reports File. Reports listing all outstanding checks or warrants.

DISPOSITION INSTRUCTIONS: Destroy in office audit copies after 3 years 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. Destroy in office remaining records after 1 year.

ITEM G102. Refunds Reports File. Reports listing returns of revenue.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 3 years 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. Destroy in office remaining records after 1 year.

ITEM G103. Requisitions File. Requests for orders for equipment or supplies.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 5 years 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. Destroy in office remaining records after 1 year.

ITEM G104. Requisitions for Funds File. Requisitions used to request transferral of funds.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 2 years 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. Destroy in office remaining records after 6 months.

ITEM G105. Retirement (Printouts) File. Computer-generated printouts listing retirement deductions from employee salaries. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM G106. Returned Checks File. Records concerning checks returned for insufficient funds.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies 1 year after check is paid, collected, or is determined uncollectable 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. Destroy in office remaining records when check is paid, collected or is determined uncollectable.

ITEM G107. Reversion and Continuation File. Records concerning the reversion of agency funds.

DISPOSITION INSTRUCTIONS: Destroy in office audit copies after 2 years 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. Destroy in office remaining records after 1 year.

ITEM G108. Sales Information File. Records concerning items sold.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G109. Sales Tax File. Records concerning the collection of sales and use taxes by the agency.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 9 years 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. Destroy in office remaining records after 1 year.

ITEM G110. Savings Bond File. Reference information concerning the federal savings bond program. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G111. Social Security (Printouts) File. Computer-generated printouts listing Social Security deductions from employee salaries. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM G112. Statements of Cost File. Records concerning the cost of functions, services, goods, and equipment.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 2 years 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. Destroy in office remaining records after 1 year.

ITEM G113. Subsidiary Ledgers File. Manually produced documents used by agencies not on the N.C. Accounting System (NCAS) showing detail accounts in support of accounts in manually produced general ledgers.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 2 years 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. Destroy in office remaining records after 1 year.

ITEM G114. Tax Forms File. Completed tax forms for agency employees. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years.

ITEM G115. Travel Requests and Reimbursements File. Authorizations and requests for reimbursement for travel and related expenses.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 5 years 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. Destroy in office remaining records after 1 year.

ITEM G116. Utility Bills and Logs File. Bills and use logs for utilities and related services.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year 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.

ITEM G117. Vendor Identification File. Listings of vendors and suppliers from whom materials may be purchased.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G118. Vouchers File. Vouchers and documentation of disbursements.

DISPOSITION INSTRUCTIONS: Destroy in office official/audit copies after 3 years 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. Destroy in office remaining records after 1 year.

ITEM G119. Withholding Forms (W-2) File. Employer's copies of withholding statements. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years 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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IT GENERAL ADMINISTRATION SERIES-- General Administration includes IT policy development, fiscal and personnel administration, agency web sites, planning, and the coordination of activities within IT units and between an IT unit and other parts of an agency. [See p. iv for prefatory comments about this IT records section.]

ITEM G120. Access and Security Policies File. Records concerning data processing policies relating to access and security.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after superseded or obsolete, 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.

ITEM G121. Agency Information Technology and Data Processing Services Planning File. Records (agency IT plans submitted to Information Technology Services (ITS), data processing services plans, strategic plans, and related records) concerning planning for information systems development, technology acquisitions, data processing services provision, or related areas.

DISPOSITION INSTRUCTIONS: Destroy in office master copies of plans and supporting documentation after 3 planning cycles subsequent to completion or revision of plans. Destroy in office remaining records when superseded or obsolete.

ITEM G122. Data Processing Administration File. Records concerning the administration of agency data processing services. File includes correspondence, memorandums, reports, publications, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G123. Data Processing Policies File. Records concerning data processing policies, including those for systems development, data retention and disposition, and data ownership.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after superseded or obsolete, 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.

ITEM G124. Data Processing Product/Vendor and State Contracts Reference File. Records concerning data processing equipment, software, and other products and their vendors.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G125. Information Technology Services (ITS) Billing File. Records (monthly billing reports, copies of vouchers, and bills) concerning charges by ITS for use of ITS computer services (including design of applications, bandwidth, tape reads, and similar services).

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) 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.

ITEM G126. Private Service Providers Fiscal File. Reference copies of records (purchase orders, invoice requests, receipts, agency vouchers, service reports, and other supporting documentation) created to initiate the purchasing process, authorize and provide funds for, or satisfy claims and expedite payments for private service providers.

DISPOSITION INSTRUCTIONS: Destroy after final payment or lapse of funds or after expiration of contract, whichever is later.

ITEM G127. User Chargebacks for Data Processing Services File. Records used to document, calculate costs, and bill program units for computer usage and data processing services.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 year(s) 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.

IT SYSTEMS AND APPLICATION DEVELOPMENT SERIES-- Systems and application development covers the IT unit functions related to the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes. [See p. iv for prefatory comments about this IT records section.]

ITEM G128. Application Development Project File. Records concerning the development, redesign, or modification of an automated system or application, including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after completion of project and when reference value ends.

ITEM G129. Automated Program Listing Source Code File. Automated program code that generates the machine-language instructions used to operate an automated information system.

DISPOSITION INSTRUCTIONS: Destroy in office after supersession or replacement of associated source code, 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.

ITEM G130. Data Documentation File. Records (sometimes known as metadata) concerning the development and/or modification of and the access, retrieval, manipulation, and interpretation of data in an automated system, including data element dictionary, file layout, code book or table, and other records concerning the meaning, purpose, structure, logical relationships, and origin of the data elements.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after discontinuance of system or application and after system's or application's instance data have been destroyed or transferred to a new structure or format.

Justification: These records are needed to use electronic records and have value as long as the data/electronic records are retained.

Please Note: In some cases, agencies will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency). When archival electronic records are transferred to the State Archives, it is essential that they be accompanied by relevant and accurate data documentation. In these cases, any related documentation described by G128, G132 and G130 for an archival series should be listed separately on the agency unit's program schedule. Application design documentation and user's guides covered by G132 may also serve to explain how data was interpreted and used.

ITEM G131. Data Processing Procurement File. Records concerning the procurement of system hardware and software, including request for proposals, proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information, including references and literature on the firm or product line.

DISPOSITION INSTRUCTIONS: Destroy in office contracts and related records after 7 years, 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. Destroy in office remaining records after 4 years and after completion of purchase.

ITEM G132. Data Systems Specifications File. User and operational documentation describing how an application system operates from a functional user and data processing point of view, including records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, system specifications, and input and output specifications.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after discontinuance of all systems and after all data created by every system instance has been destroyed or transferred to new operating environment.

ITEM G133. Maintenance Contract File. Maintenance contracts and related records for data processing equipment, including copies of contracts, service histories, and work orders.

DISPOSITION INSTRUCTIONS: Destroy in office contracts 7 years after expiration of contract and after final payment, 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. Destroy in office remaining records after administrative value ends.

ITEM G134. Technical Program Documentation File. Records concerning program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after program is superseded or obsolete, 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.

ITEM G135. Test Database File. Records concerning benchmark data sets, test results constructed or used to test or develop a system, and other related documentation.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends, 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.

ITEM G136. Training Course Information File. Records concerning training courses run by a data processing user support or office automation support unit. File includes memorandums, flyers, catalogues, registration forms, rosters, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

COMPUTER OPERATIONS AND TECHNICAL SUPPORT SERIES. Computer operation and technical support covers the IT unit functions related to operating systems, maintaining hardware and software, data input services, system backup off-line storage operations, job and production control, monitoring system usage, and liaison with hardware and software vendors. [See p. iv for prefatory comments about this IT records section.]

ITEM G137. Automated Off-Line Storage Library System File. Automated records used to control the location, maintenance, and disposition of off-line storage media (such as tapes) in a media library.

DISPOSITION INSTRUCTIONS: Destroy in office after related records or media are destroyed or withdrawn from the media library.

ITEM G138. Audit Trail File. Data generated during the creation of a master file or database, used to validate a master file or database during a processing cycle.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

ITEM G139. Computer Run Scheduling File. Records concerning the scheduling of computer runs, including daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

ITEM G140. Computer Security File. Records concerning routine monitoring of the state's information technology systems, telecommunications networks, web sites and electronic security systems, including associated software and hardware.

Disposition Instructions: Destroy after administrative/business value ends, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM G141. Computer Security Incident Report File. Records associated with cyber incidents involving unauthorized attempted entry, probes and/or attacks on agency information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. File includes formal reports, logs, extracts and compilations of data, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office finalized cyber incident reports after 5 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM G142. Computer Usage File. Electronic files or automated logs created to monitor computer system usage including log-in files, system usage files, charge-back files, data entry logs, data concerning individual computer program usage, security logs, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

ITEM G143. Data Processing Hardware Documentation File. Records concerning the use, operation, and maintenance of an agency's data processing equipment, including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete and after transfer of data to new hardware environment.

ITEM G144. Data Processing Operating Procedures File. Records concerning procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation that supports the creation of records.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after superseded or obsolete.

ITEM G145. Data Processing Unit Copies of Output Reports File. Data processing unit's copy of output reports, produced for client program units.

DISPOSITION INSTRUCTIONS: Destroy in office after distribution of output reports.

ITEM G146. Destruction of Files Reports ("Scratch Reports") File. Records concerning the destruction of files stored on electronic media in an off-line storage library.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G147. Disaster Preparedness and Recovery Planning File. Records concerning the protection and reestablishment of data processing services and equipment in case of a disaster. (Disaster preparedness and recovery plans should be stored in secure, off-site location.)

DISPOSITION INSTRUCTIONS: Destroy in office after superseded or obsolete.

ITEM G148. Employee Internet Use Logs File. Electronic files or automated logs (including proxy server logs) created to monitor and control use of the Internet by agency employees.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

ITEM G149. Input Documents File. Forms and other related records used solely for data input and control when the IT unit provides centralized data input services. (Original records are retained by the program unit.)

DISPOSITION INSTRUCTIONS: Destroy in office after completion of data entry and after completion of all verification and quality control procedures.

Please Note: Input records retained for fiscal audit or legal purposes, or, containing information needed by a program unit, should be scheduled by the responsible program unit.

ITEM G150. Network Usage File. Electronic files or automated logs created to monitor network usage. File includes log-in files, system usage files, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

ITEM G151. Network Usage Reports File. Summary reports and other related records created to document computer usage for reporting or other purposes.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

ITEM G152. Off-Line Storage Library Control Records File. Records concerning control of the location, maintenance, and disposition of magnetic media in an off-line storage library. File also includes lists of holdings and control logs.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G153. Operating System and Hardware Conversion Planning File. Records concerning the replacement of equipment or computer operating systems that support the creation of non-permanent records.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after completion of conversion.

ITEM G154. Print File. Source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, registers, reports, and similar records for purposes internal to IT operations and for application users in client program units. (Records are not intended to function for audit purposes or document program unit transactions.)

DISPOSITION INSTRUCTIONS: Destroy records produced for internal IT operations in office after completion of all verification and quality control procedures and when administrative value ends. For records produced for application users in client program units, destroy in office when administrative value ends.

Please Note: Print files needed for fiscal audits or retained to document transactions should be scheduled separately by the responsible program unit.

ITEM G155. Quality Assurance File. Records concerning the adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, and deadlines. File includes reviews, assessments, and supporting documentation.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after supersession or replacement of associated source code, 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.

ITEM G156. Summary Computer Usage Reports File. Summary reports and other records documenting computer usage for reporting or cost recovery purposes.

DISPOSITION INSTRUCTIONS: Destroy in office after 4 years, 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.

ITEM G157. Summary or Extracted Data File. Summary or aggregate data from a master file or database, including "snapshot" of data, created solely to distribute data to individuals or program units for reference and use. (Data is not altered or augmented to support program-specific needs.)

DISPOSITION INSTRUCTIONS: Destroy in office after distribution of data.

Please Note: Summary or extract files altered or augmented to support program-specific needs should be scheduled separately by the responsible program unit.

ITEM G158. System Backup File. Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. (System backup files and records should be stored in secure, off-site location.)

DISPOSITION INSTRUCTIONS: Destroy in office in accordance with your office's established, regular backup plan and procedures---see *Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure, and Re-use of Security Backup Files*, at: <http://www.records.ncdcr.gov/erecords/default.htm#guide> .

Please Note: Backups used to document transactions or retained for purposes other than system security should be scheduled separately by the responsible program unit. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail, and annual system backups are retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases. If these records are covered by specific Federal audit requirements requiring longer records retention, they should be scheduled separately by the appropriate program unit. It is advisable that for many application systems multiple copies of backups be produced during each cycle.

ITEM G159. System Users Access Records File. Records created to control or monitor individual access to a system and its data, including user account records, password files, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after access for employee is withdrawn and after 1 year, 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.

ITEM G160. Valid Transaction File. Records used to update and/or document a transaction in a database or master file, including valid transaction files, DBMS (database management system) log, update files, and other related records for purposes internal to IT operations and for application users in client program units. (Records are not intended to document a program unit action or for fiscal audit purposes.)

DISPOSITION INSTRUCTIONS: Destroy in office when related paper or electronic records have been destroyed or transfer in accordance with the disposition of the related paper or electronic records, as appropriate.

Please Note: Records used to document a program unit's actions (e.g., receipt of a voucher, issuance of a check), as opposed to a strictly data processing transaction, or needed for fiscal audit or legal purposes, should be scheduled separately by the responsible program unit.

ITEM G161. Work/Intermediate File. Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, including "macro" or "startup" file or other electronic record created to preserve a combination of data elements and/or method of displaying these data elements, when all transactions are captured in a master file, central file, valid transaction file, or database, and the work/intermediate file is not retained to provide an audit trail.

DISPOSITION INSTRUCTIONS: Destroy in office after the transaction is completed and when all reports, studies and other principal records for which the file is created and for which the electronic file is needed to recreate or document a valid transaction are destroyed.

The following records series may have components that are affected by computer and information security considerations:

*Item G128 - APPLICATION DEVELOPMENT PROJECT FILE
Item G132 - DATA SYSTEMS SPECIFICATIONS FILE
Item G130 - DATA DOCUMENTATION FILE
Item G129 - AUTOMATED PROGRAM LISTING SOURCE CODE FILE
Item G144 - DATA PROCESSING OPERATING PROCEDURES FILE
Item G165 - HELP DESK TELEPHONE LOGS AND REPORTS FILE*

DATA ADMINISTRATION SERIES. Data administration covers IT unit functions related to data administration support, including the maintenance of data standards, corporate data models, and data definitions and dictionaries. [See p. iv for prefatory comments about this IT records section.]

ITEM G162. Data/Database Dictionary File. Records concerning the management of data in an agency's information systems and that explain the meaning, purpose, logical relationships, ownership, use, or origin of data. File contains information on data element definitions, data structures or file layout, code tables, and other data attribute information.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after discontinuance or modification of the related application and after application data has been destroyed or transferred to new structure or format.

Please Note: These records are essential for managing electronic records in agency automated information systems and have value as long as the data/electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format and that it be listed in a program records retention and disposition schedule.

ITEM G163. Data/Database Dictionary Reports File. Periodic printouts from a data/database dictionary system, including data element attribute reports, database schema, and related records used for reference purposes.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

Please Note: The official copy of essential data documentation is covered by either G130 or G162.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

**Government Records Branch
Archives and Records Section
Division of Historical Resources
Office of Archives and History**

Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

ITEM G164. Finding Aids (Indexes)/Tracking Systems File. Electronic indexes, lists, registers, and other finding aids providing access to records in paper and electronic format in the custody of the data processing unit.

DISPOSITION INSTRUCTIONS: Destroy in office when related paper or electronic records have been destroyed or transfer in accordance with the disposition of the related paper or electronic records, as appropriate.

Please Note: Finding aids and tracking systems for program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records.

IT SUPPORT. IT support covers functions that provide support to users of mainframe or office computers, including assisting users to solve software and hardware problems, installing hardware or software, providing training, and the review and recommendation of software for agency use. [See p. iv for prefatory comments about this IT records section.]

ITEM G165. Help Desk Telephone Logs and Reports File. Records concerning requests for technical assistance and responses to these requests as well as the collection of information on the use of computer equipment for program delivery, security, or other purposes.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years, 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.

ITEM G166. Hardware and Software Review File. Records concerning the review of and recommendations for hardware and software for agency use. File includes vendor information, manuals, hardware and software reviews, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after reference value ends.

ITEM G167. Site/Equipment and Software Support File. Records concerning support services provided to specific data processing equipment and software or installations. File includes site visit reports, program and equipment service reports, service histories, and correspondence and memorandums.

DISPOSITION INSTRUCTIONS: Destroy service histories and other summary records when superseded or obsolete. Destroy remaining records after 3 years.

NETWORK/DATA COMMUNICATION SERVICES SERIES. Network and Data Communication Services cover IT unit functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with network providers. [See p. iv for prefatory comments about this IT records section.]

ITEM G168. Agency Internet Services Logs File. Electronic files or automated logs created to monitor access and use of agency services provided via the Internet and use of the internet by employees. May include services provided via FTP (file transfer protocol), World Wide Web site, via agency Telnet services, or other service providers.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends, 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.

Street address:
215 N. Blount Street
Raleigh, NC 27601-2823
Phone: 919.807.7350

**Government Records Branch
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Division of Historical Resources
Office of Archives and History**

Mailing Address:
4615 Mail Service Center
Raleigh, NC 27699-4615
Fax: 919.715.3627

ITEM G169. Circuits Inventories File. Records concerning network circuits used by the agency. File includes circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after superseded or obsolete.

ITEM G170. Network/Circuit Installation and Service File. Copies of requests by agencies to public or private providers for data communication service, installation, or repair. File also includes work orders, correspondence, memorandums, work schedules, copies of building or circuitry diagrams, copies of fiscal documents, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after completion of work, 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.

ITEM G171. Network Site/Equipment Support File. Records concerning support services provided to specific sites and computer to computer interfaces on a network. File includes site visit reports, trouble reports, service histories, and correspondence and memoranda.

DISPOSITION INSTRUCTIONS: Destroy service histories and other summary records when superseded or obsolete. Destroy remaining records after 3 years.

ITEM G172. Network Implementation Project File. Records concerning the planning for and implementation of a network. File includes reports, justifications, working diagrams of proposed network, wiring schematics, diagrams and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office after superseded or obsolete.

ITEM G173. Abolished Position File. Records concerning positions that have been abolished.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G174. Addresses File. Listing of employees' addresses and telephone numbers.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G175. Affirmative Action and Equal Employment Opportunity (EEO) File. Reference copies of records concerning agency participation in federal and state affirmative action/equal opportunity programs.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM G176. Aggregate Service History File. Complete history of each employee's service with the agency. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to appropriate individual personnel file when completed.

ITEM G177. Allocated List File. Listings providing classification, titles, and position numbers.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G178. Applicant Flow Records File. Statistical data concerning all applicants who apply for agency positions over a given period of time.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G179. Applications for Employment (PD-107) File. Completed application forms for employment with resumes and other related documentation. Includes recommendation forms submitted by interviewers of applicants for vacant positions. (Comply with applicable provisions of G.S. 126-22 regarding confidentiality of personnel records.)

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 3 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.

ITEM G180. Applications for Return of Accumulated Retirement Contributions File. Applications completed by employees for the return of contributions and interest from the State Retirement System.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM G181. Benefits File. Records concerning benefits available to employees.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G182. Class Specifications File. Records concerning the determination of position classification levels.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G183. Classifications File. Forms and other related records used to request a personnel action from the Office of State Personnel concerning existing, new, or additional positions.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G184. Death Claims File. Records concerning death claims on all retired and active employees. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after claim is paid 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.

ITEM G185. Disability Salary Continuation Claim File. Claims completed by disabled employees to apply for salary continuation benefits. (Comply with applicable provisions of G.S. 126-22 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer original records to Teachers' and State Employees' Retirement System for action when received. Destroy in office remaining records after 1 year.

ITEM G186. Disciplinary File. Correspondence and other records concerning disciplinary actions taken against employees. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after final resolution. Destruction after final resolution may occur earlier if permitted by state law.

ITEM G187. Dual Employment File. Records concerning employees requesting and engaging in dual employment within state government or universities.

DISPOSITION INSTRUCTIONS: Destroy in office approved requests and related records 1 year after employee terminates outside employment. Destroy in office disapproved requests and related records after 6 months. Destroy in office remaining records when reference value ends.

ITEM G188. Educational Leave and Reimbursement File. Records concerning requests for educational leave and tuition reimbursement. (Comply with applicable provisions of 20 USC 1232g regarding the confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office records concerning approved requests when released from all audits. Destroy in office records concerning disapproved requests 6 months after disapproval.

ITEM G189. Employee Assistance Program (EAP) File. Reference copies of records concerning the Employee Assistance Program (EAP) and related assistance and counseling opportunities. (Program no longer exists.) (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy all records in office after 3 years.

ITEM G190. Employee Suggestion (ES) File. Records concerning suggestions of employees through the Employee Suggestion (ES) System.

DISPOSITION INSTRUCTIONS: Destroy in office records concerning adopted suggestions after 4 years. Destroy in office records concerning non-accepted suggestions after 1 year.

ITEM G191. Employment Eligibility Verification (Form I-9) File. Completed I-9 forms (federal employment eligibility verification forms) and related records for each agency employee. (Comply with applicable provisions of G. S. 126-22, 126-23, and 126-24 and 5 USC 552a regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after the date of hire or 3 years after the date employee terminates service, whichever is later, 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 action has been resolved.

ITEM G192. Family Medical Leave Act (FMLA) File. Records concerning leave under the Family Medical Leave Act (FMLA). (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records and G.S. 130-374 regarding confidentiality of medical records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after date of last activity.

ITEM G193. Garnishments File. Records concerning the garnishments of employees' wages. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after termination of deduction 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.

ITEM G194. Grievance File. Records concerning disputed employee grievances. (Comply with applicable provisions of G.S. 126-22 and 132-1.1 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after resolution of grievance.

ITEM G195. Insurance Enrollment File. Records concerning health, life and related insurance plans available to agency employees. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 2 years after account is closed, 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.

ITEM G196. Internship Program File. Records concerning student internship programs within the agency. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of student records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G197. Leave File. Records concerning leave by office personnel. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years 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.

ITEM G198. Leave Without Pay File. Records concerning leave without pay by agency personnel. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after return of employee or termination of employment.

ITEM G199. Longevity File. Records concerning employees eligible for longevity pay. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM G200. Medical Records File. Records concerning medical and health status which can include asbestos, toxic substances, and blood-borne pathogen exposure, medical examinations of agency employees. File includes medical leave permit forms, reference copies of workers compensation injury reports, treatment reports, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of records and G.S. 130A-374 regarding confidentiality of medical records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after employee terminates service. Destroy in office exposure records 40 years from date of exposure or 30 years from date of separation.

ITEM G201. Military Leave File. Requests for and approval of military leave.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after leave ends.

ITEM G202. Performance Management Program (PMP) File. Records concerning employees' goals and primary tasks. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office official copies after 3 years 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. Destroy in office remaining copies when superseded or obsolete.

ITEM G203. Personnel (Active) File. Reference copies of records concerning office personnel. File includes applications for employment, resumes, personnel action forms, and other related records. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

Disposition Instructions: Transfer to agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.

ITEM G204. Personnel Action Forms (PD-105) File. Reference copies of records concerning personnel action changes.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM G205. Personnel Correspondence File. Office correspondence and memorandums concerning personnel matters.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years.

ITEM G206. Personnel Reference File. Reference materials concerning the administration of personnel.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G207. Position Control File. Records concerning personnel actions and position control, status of each established permanent, temporary full-time, or part-time position, and other related topics.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM G208. Position Descriptions File. Job description for each position.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G209. Position History (PD-118R) File. Classification records and complete histories of salaried positions within the agency.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM G210. Position Evaluation Description File. Forms used to evaluate the primary purpose of a position.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM G211. Reduction-in-Force File. Records concerning employees who have been terminated due to a reduction in force. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer to the agency personnel office to be incorporated into official personnel file 1 year after employee terminates service.

ITEM G212. Retirement Benefits File. Records concerning retirement beneficiaries for death benefits, personal data of employees who plan to retire or have retired, descriptive information about retirement system, and other related topics. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer original forms concerning beneficiaries to the Department of State Treasurer, Retirement Systems Division, when received. Destroy in office remaining records when reference value ends.

ITEM G213. Salary Changes File. Notifications of salary changes.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM G214. Salary Ranges File. Records concerning salary ranges and classifications of positions received from the Office of State Personnel.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded.

ITEM G215. Secondary Employment File. Records concerning employees requesting and engaging in secondary employment. (Comply with applicable provisions of the State Personnel Manual regarding the confidentiality of secondary employment records.)

DISPOSITION INSTRUCTIONS: Destroy in office approved requests and related records 1 year after employee terminates outside employment. Destroy in office disapproved requests and related records after 6 months. Destroy in office remaining records when reference value ends.

ITEM G216. Service Awards File. Lists of employees eligible for and receiving awards.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years from date of award.

ITEM G217. Shift Premium Pay File. Authorizations and other related records concerning employees receiving shift premium pay. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G218. Statement of Back Pay File. Forms used to determine the gross pay an employee would have earned during a specified period for back pay in a grievance decision, settlement agreement, or a State Personnel Commission order. (Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G219. Training Records File. Records concerning the training of agency personnel, including the training, testing or continuing education of employees.

DISPOSITION INSTRUCTIONS: Transfer original records to Personnel (Active) File (Item G202) upon completion of training. Destroy in office remaining copies when administrative value ends.

ITEM G220. Unemployment Compensation Claims File. Records concerning unemployment compensation cases.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 years 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.

ITEM G221. Unemployment Insurance File. Employment Security Commission (ESC) forms used to report wage records of terminated employees.

DISPOSITION INSTRUCTIONS: Transfer original records to the Department of Commerce, Unemployment Insurance Division, when received. Destroy in office remaining records after 2 years.

ITEM G222. Vacancy File. Records concerning vacant positions.

DISPOSITION INSTRUCTIONS: Destroy in office when superseded or obsolete.

ITEM G223. Verification of Employment File. Inquiries and responses concerning verification of an employee's previous employment.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM G224. Voluntary Shared Leave File. Records concerning participation in the voluntary shared leave program.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM G225. Workers' Compensation Program Administrative File. Records concerning the administration of workers' compensation programs and policies.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ADDENDUM 1: PREVIOUS AMENDMENTS TO THE GENERAL SCHEDULE

**THE FOLLOWING ITEMS WERE REMOVED FROM THE GENERAL SCHEDULE
APPROVED OCTOBER 1, 2000:**

ADMINISTRATIVE RECORDS:

Item G3. Administrative Procedures Act (APA or Administrative Code) File.

BUDGET RECORDS:

Item G93. Paid Checks and Warrants File.

**THE FOLLOWING ITEMS FROM THE GENERAL SCHEDULE APPROVED OCTOBER
1, 2000 WERE AMENDED.**

ADMINISTRATIVE RECORDS:

Item G49. Workers' Compensation Litigation and Claims File.

BUDGET RECORDS:

Item G56. Bids File.

Item G71. Cash Receipts and Journals File.

Item G73. Contracts, Agreements, and Leases File.

Item G78. Disbursing Accounts Statements File.

Item G85. Increments File.

PERSONNEL RECORDS:

Item G176. Applications for Employment (PD-107) File.

Item G186. Employee Assistance Program (EAP) File.

Item G188. Family Medical Leave Act (FMLA) File.

**THE FOLLOWING ITEMS HAVE BEEN ADDED TO THE GENERAL SCHEDULE
APPROVED JANUARY 10, 2004.**

BUDGET RECORDS:

Item G776. Direct Deposit Forms File.

PERSONNEL RECORDS:

Item G197. Medical Records File.

Item G221. Voluntary Shared Leave File.

**THE FOLLOWING ITEMS HAVE BEEN ADDED TO THIS NEW GENERAL
SCHEDULE APPROVED AUGUST 31, 2006.**

ADMINISTRATION RECORDS:

Item G46. Web Site File.

INFORMATION TECHNOLOGY RECORDS: (New Section)

PERSONNEL RECORDS:

Item G188. Employment Eligibility Verification (Form I-9) File.

ADDENDUM 1: PREVIOUS AMENDMENTS TO THE GENERAL SCHEDULE

THE FOLLOWING ITEMS FROM THE NEW GENERAL SCHEDULE APPROVED AUGUST 31, 2006 HAVE BEEN AMENDED.

ADMINISTRATIVE RECORDS:

- Item G49. Workers' Compensation Litigation and Claims File.
- Item G73. Contracts, Agreements, and Leases File

BUDGET RECORDS:

- Item G113. Travel Requests and Reimbursements File.

INFORMATION TECHNOLOGY RECORDS:

- Item G164. Computer Usage File.
- Item G165. Network Usage File.
- Item G166. Network Usage Report File.
- Item G167. Agency Internet Services Logs File.
- Item G168. Employee Internet Use Logs File.
- Item G169. Computer Security Incident File.

PERSONNEL RECORDS:

- Item G181. Death Claims File.
- Item G183. Disciplinary File.
- Item G198. Military Leave File.

ADDENDUM 2: EXECUTIVE ORDER NO. 18 – EMAIL RETENTION AND ARCHIVING POLICY**EXECUTIVE ORDER NO. 18
E-MAIL RETENTION AND ARCHIVING POLICY**

WHEREAS, the North Carolina Public Records Law declares that the public records and information compiled by the agencies of North Carolina government are the property of the people; and

WHEREAS, all e-mail messages sent and received in the transaction of state business are public records; and

WHEREAS, a transparent government and the citizens' right to access public records are of paramount importance; and

WHEREAS, Governor Easley issued Executive Order Number 150, entitled E-mail Retention and Archiving, on January 9, 2009; and

WHEREAS, I have reviewed Executive Order Number 150 and determined that some of the provisions in the aforementioned order should be clarified.

NOW, THEREFORE, pursuant to the authority vested in me as Governor by the Constitution and the laws of the State of North Carolina, **IT IS ORDERED THAT:**

RESCISSION

1. Executive Order Number 150, dated January 9, 2009, is hereby rescinded.

EMPLOYEE RESPONSIBILITIES

2. Executive Branch employees shall treat all e-mail messages which they send or receive via state government e-mail accounts as public records and shall handle and maintain them in compliance with the Public Records Law and records retention schedules in the same manner as paper documents or other tangible records.

ADDENDUM 2: EXECUTIVE ORDER NO. 18 – EMAIL RETENTION AND ARCHIVING POLICY

3. Employees have no expectation of privacy in their electronic correspondence, and all employees shall assume that information on the State's e-mail system is subject to public review and to review by state officials.
4. All outgoing e-mails sent from Executive Branch State e-mail accounts shall include language notifying the recipient(s) that the message is subject to the Public Records Law and may be disclosed to third parties.
5. Executive Branch employees shall not permanently delete any e-mail messages that they **send** for at least 24 hours, and shall not permanently delete any e-mail messages they **receive** for at least 24 hours except that they may immediately and permanently delete any e-mail messages they **receive** that are not clearly related to the transaction of State business, such as e-mails containing advertising materials or offensive materials. After 24 hours, Executive Branch employees shall retain or delete e-mails they have sent or received according to the retention schedules for their agency established by the Department of Cultural Resources.
6. Executive Branch employees who conduct State business via personal e-mail accounts shall ensure that all public records are retained in accordance with this Executive Order and are retained pursuant to the Public Records Law and applicable record retention schedules.
7. Executive Branch employees shall not use State e-mail accounts for political purposes, to conduct private commercial transactions or to engage in private business activities. Executive Branch employees may use State e-mail for limited family or personal communications so long as those communications do not interfere with their work.

AGENCY RESPONSIBILITIES

8. All Executive Branch agencies shall copy all e-mails sent and received by their employees on backup tapes at least once daily. The Office of Information Technology Services (ITS) will provide this backup service to all agencies for which it provides e-mail services. Each Executive Branch agency that does not use ITS e-mail services shall employ a back-up system that creates a back-up copy of the messages in all e-mail systems of the agency at least once daily. All backup tapes created after the issuance of Executive Order 150 and prior to the implementation of a single e-mail archive system will be maintained for 10 years. After implementation of an e-mail archive system, backup tapes will be maintained for such period as ITS may establish.
9. ITS will procure an e-mail archive system as soon as practicable and provide that system to all agencies for which it provides e-mail services. ITS will make this archive system available to other Executive Branch agencies as soon as practicable. E-mails shall be retained in this system for 10 years. ITS will consult with the North Carolina Department of Cultural Resources (DCR) to identify e-mails that should be preserved beyond 10 years.

ADDENDUM 2: EXECUTIVE ORDER NO. 18 – EMAIL RETENTION AND ARCHIVING POLICY

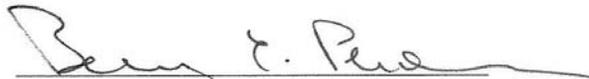
- 10. DCR shall provide Executive Branch employees with mandatory online training for managing e-mail as public records.
- 11. DCR shall conduct random audits of State agencies in the Executive Branch to ensure that employees are in compliance with the records retention and disposition schedules.
- 12. Executive Branch agencies not subject to this Order, the Legislative Branch and the Judicial Branch, are encouraged and invited to participate in this Executive Order.

DURATION

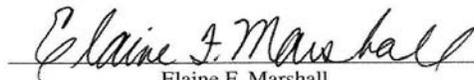
- 13. This Executive Order shall be effective immediately and shall remain in effect until rescinded.

IN WITNESS WHEREOF, I have hereunto signed my name and affixed the Great Seal of the State of North Carolina at the Capitol in the City of Raleigh, this the seventh day of July in the year of our Lord two thousand and nine, and of the Independence of the United States of America the two hundred and thirty-fourth.




Beverly Eaves Perdue
Governor

ATTEST:


Elaine F. Marshall
Secretary of State

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