10. Infrastructure Management

The function of Infrastructure Management involves the construction of public buildings, roads, and other public works. In North Carolina, this work is largely overseen by the Departments of Administration and Transportation. The State Parks also handle the construction and maintenance of infrastructure on their properties.

NOTE: General planning records and reports not related to specific construction projects are under AGENCY MANAGEMENT. Facilities management records that are not tied to federal funding programs are under ASSET MANAGEMENT. For grant funds that pass through a state agency, see FINANCIAL MANAGEMENT. For traffic ordinances, deeds, right-of-way claims, encroachments, and other agreements, see LEGAL. For asbestos management plans, see RISK MANAGEMENT.

Table of contents (A comprehensive listing of all record types is available on the functional schedule documents page at https://archives.ncdcr.gov/documents/functional-schedule-state-agencies):

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- 1011 As-Built Drawings
- 1012 Construction Records
- 1013 Federal-Aid Transportation Projects
- 1014 Mitigation Site Records
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- 1021 Aviation Planning Records
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- 1023 Dropped Projects Records
- 1024 House Moving Records
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- 1026 National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records
- 1027 Photogrammetric Project Records
- 1028 Preconstruction Project Records
- 1029 Surplus Property Records
- 10210 Surveys and Maps
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An index for the entire functional schedule is available on the functional schedule documents page at https://archives.ncdcr.gov/documents/functional-schedule-state-agencies.

Some Infrastructure Management records assess environmental impacts of construction projects, such as National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records (RC No. 1026), and therefore, are archival. Many Infrastructure Management records, such as State Transportation Projects (RC No. 1015), are project-based and can be destroyed a set number of years after completion of the project. For this reason, these records should be assigned unique identifiers, so that all related records can be identified and arranged according to the closing date for the project.

These functional schedules apply to records in all media, unless otherwise specified. The State Archives of North Carolina recommends that agencies develop a file plan that documents the owners of record copies, internal definitions of reference value, and record formats. Information about the NC Public Records Act, confidentiality, destructions, audits and litigation actions, and electronic records can be found in the overview to the functional scheduling initiative. (These documents are available on the state agency records management documents page at https://archives.ncdcr.gov/documents/state-agency-rm.) A key for the functional schedule along with definitions of important records management terms can be found in the glossary to this schedule.

10.1 Construction Management

DEFINED: Activities related to the construction of public buildings, roads, and other public works.

SEE ALSO: As-built drawings and blueprints for facilities that are used by state agencies but are not state-owned are under ASSET MANAGEMENT, as are maintenance records.

RC No.	Record Types	Description	Disposition Instructions	Citation
1011.P	As-Built Drawings SEE ALSO: Facility Management Records (ASSET MANAGEMENT)	as-built drawings collected by the Department of Administration for state-owned facilities; also includes electrical wiring diagrams	PERMANENT ©	Confidentiality G.S. § 132.1-7
1012.100	Construction Records	records concerning repairs, additions, and construction of buildings overseen by the Department of Administration; includes budget requirements, costs, architects' and engineers' inspection reports, energy-related data, change orders, specifications with construction contracts, and other related records	RETAIN UNTIL: Complete PLUS: 100 years Ω THEN: Destroy	
1012.S		records concerning repairs, additions, and construction of buildings and other public works that are *not* overseen by the State Construction Office	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
1013.3	Federal-Aid Transportation Projects	records concerning roadway, rail, and structure construction and maintenance projects managed by the Department of Transportation; includes contracts (as well as supplemental agreements and subcontract approval forms), design plans, contractor claims, construction site reviews, field books, diaries, permit audit reports, safety-related audits, value engineering studies, geoenvironmental investigation, geotechnical operations records, roadway/structure/ waste/borrow/utilities submittals, certified payroll reports, FAP-1 Reports, wage rate interview forms, Form 1391, inspector daily reports, special provisions, construction revisions, construction contract payment data, correspondence, and other related records	RETAIN UNTIL: Final voucher pay date PLUS: 3 years Ω THEN: Destroy	Confidentiality G.S. § 136.28.5
1014.10$_1$	Mitigation Site Records	records created by the Department of Transportation concerning on-site or off-site mitigation sites that require post-construction monitoring; includes permits, assessments, maps, field notes, photographs, and other related records	RETAIN UNTIL: Monitoring complete PLUS: 10 years Ω THEN: Destroy	
1014.10$_2$		records created by the Department of Transportation concerning project sites that do not require post-construction monitoring; includes permits, assessments, maps, field notes, photographs, and other related records	RETAIN UNTIL: Project complete PLUS: 10 years Ω THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
1015.3	State Transportation Projects	records concerning roadway, rail, and structure construction and maintenance projects managed by the Department of Transportation; includes contracts (as well as supplemental agreements and subcontract approval forms), design plans, contractor claims, construction site reviews, field books, diaries, permit audit reports, safety-related audits, value engineering studies, geoenvironmental investigation, geotechnical operations records, roadway/structure/ waste/borrow/utilities submittals, certified payroll reports, FAP-1 Reports, wage rate interview forms, Form 1391, inspector daily reports, special provisions, construction revisions, construction contract payment data, correspondence, and other related records	RETAIN UNTIL: Payment of final estimate PLUS: 3 years Ω THEN: Destroy	Confidentiality G.S. § 136.28.5
1015.1		project work books containing general project information for the Department of Transportation	RETAIN UNTIL: Payment of final estimate PLUS: 1 year THEN: Destroy	
1015.<		load tickets submitted to the Department of Transportation as supporting documents for final estimates	RETAIN UNTIL: Payment of final estimate PLUS: 90 days THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

10.2 Infrastructure Design and Planning

DEFINED: Activities related to the design of public buildings and other public works.

SEE ALSO: For preconstruction project records for transportation projects, see Construction Management. Environmental impact statements and certifications for laboratories, plants, and technicians are covered under MONITORING AND COMPLIANCE. Due diligence investigations of potential contractors and engineering firms are also covered under MONITORING AND COMPLIANCE. Surplus property that belongs to a state agency is tracked under ASSET MANAGEMENT.

RC No.	Record Types	Description	Disposition Instructions	Citation
1021.A	Aviation Planning Records	records compiled by the Department of Transportation concerning aviation studies for NC airports; also includes planning and development records for private and public airports	PERMANENT (archival) ∞	
1022.S	Design Plans SEE ALSO: As-Built Drawings (above)	includes let plans used for bidding, mix designs for construction materials, and planimetrics	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	
1023.3	Dropped Projects Records	records concerning projects that were canceled prior to completion or requested projects that were not undertaken; also includes projects that have either been deferred or deleted by the Department of Transportation	RETAIN UNTIL: Canceled/Rejected PLUS: 3 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
1024.P	House Moving Records	records of the Department of Transportation concerning state- and federal-aid projects involving the relocation of dwellings; includes proposals and contracts, powers of attorney, contract bonds, owners' releases, bid procedures and correspondence, pay orders, move procedures, contract insurance, and payments	PERMANENT	
1025.3	Materials Testing Records	records produced by the Department of Transportation; includes field inspection reports, sample information, and test results	RETAIN UNTIL: Closing of work order PLUS: 3 years THEN: Destroy	
1026.P	National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records	records concerning historical Department of Transportation projects or those with a wide-ranging impact; includes public hearing transcripts, environmental impact studies (including categorical exclusions), technical reports, environmental permits, environmental evaluations, and supporting maps and images	PERMANENT (appraisal required) ∞	
1026.3		records concerning routine Department of Transportation projects	RETAIN UNTIL: Final voucher pay date PLUS: 3 years THEN: Destroy	
1027.P	Photogrammetric Project Records	imagery and associated textual data collected by the Department of Transportation	PERMANENT	
1027.15	(continued on following page)	preconstruction mapping by the Department of Transportation	RETAIN UNTIL: Project delivery PLUS: 15 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
1027.10	Photogrammetric Project Records (cont.)	records produced by the Department of Transportation in support of transportation projects; includes construction earthwork computations	RETAIN UNTIL: Project delivery PLUS: 10 years THEN: Destroy	
1027.<		raw data associated with sensor collection by the Department of Transportation; includes imagery data as well as positioning and orientation data	RETAIN UNTIL: Flight complete PLUS: 6 months THEN: Destroy	
1028.3	Preconstruction Project Records SEE ALSO: Transportation Projects (above)	records concerning construction planning for projects other than roads or transportation infrastructure; includes technical records regarding drainage requirements, erosion and sedimentation control analyses, and documents used to establish the location of corridors and limits of rights-of-way	RETAIN UNTIL: Closing of work order PLUS: 3 years THEN: Destroy	
1029.P	Surplus Property Records SEE ALSO: Inventory Management Records (ASSET MANAGEMENT)	records collected by the Department of Transportation concerning the appraisal and acquisition of surplus property acquired in the purchasing of right-of-way parcels; also includes correspondence and reports regarding relocation assistance offered property owners	PERMANENT	
10210.S	Surveys and Maps	surveys and other maps used for facility design and land acquisition; also includes maps of state-owned corridors, infrastructure, and properties	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
10211.P	Utilities Tip Projects Records	records collected by the Department of Transportation concerning the removal or relocation of utility facilities that conflict with highway construction or improvement; includes reports, requests for authorization, pole data sheets, estimated costs, utility relocation agreements and plans, and correspondence	PERMANENT	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

10.3 Transportation Management and Safety

DEFINED: Activities related to the management of the state's transportation infrastructure, including efforts to improve safety.

SEE ALSO: License plate data captured automatically for law enforcement purposes and collision reports are under LAW ENFORCEMENT. Permits issued by the Department of Transportation (e.g., driver's license) as well as inspections carried out for evaluating compliance are under MONITORING AND COMPLIANCE.

RC No.	Record Types	Description	Disposition Instructions	Citation
1031.P	Designations Records	records maintained by the Department of Transportation concerning scenic byways and honorary designations for state roads/bridges/ferries; includes approved application forms, maps, photographs, and other related records	PERMANENT	
1031.3		rejected applications and other related records	RETAIN UNTIL: Rejected PLUS: 3 years THEN: Destroy	
1032.5	Dredge Reports	data fields maintained by the Department of Transportation consisting of names of projects, dates of projects, number of hours worked, lost time, number of tonnage, and other related data	RETAIN UNTIL: Complete PLUS: 5 years THEN: Destroy	
1033.<	Incident Management Assistance Records SEE ALSO: Collision Reports (LAW ENFORCEMENT)	includes dispatch information, activity logs, wrecker authorizations, and other related records within the Department of Transportation	RETAIN UNTIL: Complete PLUS: 30 days THEN: Destroy	
1034.3	Infrastructure Inspection Records (continued on following page)	records concerning post-construction inspections conducted to assess the integrity of infrastructure	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
1034.A	Infrastructure Inspection Records (cont.)	records concerning special structures owned by other state agencies and inspected by the Department of Transportation	PERMANENT (archival) ∞	
1035.P	Infrastructure Inventories	records required by the U.S. Department of Transportation; includes infrastructure assets such as railroad crossings, tunnels, and bridges; file also includes digital images	PERMANENT	Authority 23 USC 144 (b) 23 CFR 650.315
1036.4	Infrastructure Maintenance Records	includes roadside maintenance as well as road and rail repairs overseen by the Department of Transportation	RETAIN UNTIL: Complete PLUS: 4 years THEN: Destroy	
1037.<	Litter Reports	include reports of littering and formal notifications by the Department of Transportation to motorists who litter	RETAIN UNTIL: Notification THEN: Destroy	
1038.3	Safety Investigation Records	records maintained by the Department of Transportation; includes crash reports and other records evaluating cost-benefit of warning devices and other proposed improvements to roads and railroads; also includes requests for speed limit, sign, signal, and route changes	RETAIN UNTIL: Superseded/Obsolete PLUS: 3 years THEN: Destroy	
1039.<	Traffic Cameras and Radio Frequency (RF) Readers SEE ALSO: Automatic License Plate Reader System (LAW ENFORCEMENT)	records collected by the Department of Transportation; includes pictures of license plates, RF data, and footage of major thoroughfares	RETAIN UNTIL: Created PLUS: 30 days THEN: Destroy	Confidentiality G.S. § 136.89-213(a1)
10310.S	Traffic Information	records distributed by the Department of Transportation via 511 Information Line	RETAIN UNTIL: Superseded/Obsolete THEN: Destroy	

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

RC No.	Record Types	Description	Disposition Instructions	Citation
10311.10	Traffic Recorder Counts	forms collected by the Department of Transportation showing time, county, station number, location, month, readings, count/estimate, and remarks	RETAIN UNTIL: Complete PLUS: 10 years THEN: Destroy	
10312.6	Traffic Safety Project Records	records maintained by the Department of Transportation concerning traffic safety studies such as hazard elimination projects, safety evaluations, crash analyses, and traffic engineering accident analyses; includes project concepts, justification reports, funding requests and authorizations, correspondence, and other related records	RETAIN UNTIL: Complete PLUS: 6 years THEN: Destroy	Confidentiality 18 USC § 2721 G.S. § 20-43.1
10313.3	Transportation Mobility and Safety Project Records	records of the Department of Transportation concerning projects for signs, sign materials, pavement markings, signals, and geometric designs; includes specifications and drawings, correspondence, cost estimates, certificates of conformance, and other related records	RETAIN UNTIL: Complete PLUS: 3 years THEN: Destroy	
10314.2	United States Coast Guard (USCG) Deck and Engineer's Logs	records maintained by the Department of Transportation concerning the operation of state-owned ferries; includes captains' records of daily activity, traffic transported, number of trips, incidents, and other related records; also includes engineers' information about start ups, shut downs, and gauge readings	RETAIN UNTIL: Complete PLUS: 2 years THEN: Destroy*	Confidentiality/ Retention 33 CFR 104.235

* No destruction of records may take place if audits or litigation are pending or reasonably anticipated.
∞ See appendix for list of item numbers for records that should transfer to the State Archives.
Ω See appendix for list of item numbers for records that are temporarily stored at the State Records Center prior to destruction.
© See appendix for list of item numbers for records that will be in permanent security storage at the State Records Center.

Records That Will Transfer to the State Records Center

1011.P As-Built Drawings: Transfer paper records to the State Records Center 2 years after completion of project to be microfilmed for permanent security storage. Paper records will be destroyed in the State Records Center after microfilming. The original copy (silver-halide) of microfilm will be stored permanently in security storage at the State Records Center. A duplicate copy of the microfilm will be purchased and retained permanently by the agency.

Agency	Series Title	Item Number
Department of Administration	As-Built Drawings File	34

1012.100 Construction Records: Transfer to the State Records Center 2 years after completion (or closing) of project. Records will be held for agency 98 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Administration	Correspondence File	35

1013.3 Federal-Aid Transportation Projects: Transfer to the State Records Center after final voucher payment is received from the Federal Highway Administration. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Field Books (Federal-Aid Projects) File	3121
	Inactive Federal-Aid Projects (Reports and Correspondence) File	2952
	Load Tickets (Federal-Aid Projects) File	3119

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

1014.10 Mitigation Site Records: Transfer to the State Records Center records concerning projects requiring monitoring 5 years after completion of monitoring. Transfer to the State Records Center records concerning projects that do not require monitoring 5 years after project is constructed and accepted. Records will be held for agency 5 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Active Mitigation Projects File	50729
	Active Projects File	50730

1015.3 State Transportation Projects: Transfer to the State Records Center after final estimate payment to the contractor. Records will be held for agency 3 additional years and then destroyed.

Agency	Series Title	Item Number
Department of Transportation	Field Books (State Projects) File	3120
	Inactive State Projects (Reports and Correspondence) File	2957
	Load Tickets (State Projects) File	3118

1021.A Aviation Planning Records: Transfer to the State Records Center when superseded or when airport closes. Records will transfer immediately to the custody of the Archives.

Agency	Series Title	Item Number
Department of Transportation	Airports Planning and Development History File	16410
	Division of Aviation Master Plan File	16405
	North Carolina State Aviation System Planning File	16404

1026.P National Environmental Policy Act (NEPA)/State Environmental Policy Act (SEPA) Records: Transfer environmental impact studies (including categorical exclusions), natural resources technical reports, environmental evaluations, and supporting maps and images to the State Records Center 5 years after the project is let to construction for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Transportation	Bridge Replacement (B) Program File	46151
	Enhancement (E) Program File	46152
	Ferry (F) Program File	46154
	Highway Hazard and Safety (W) Program File	46155
	Interstate (I) Program File	46156
	Landscape (K and L) Program File	46157
	Passenger Rail (P) Program File	46158
	Railway/Highway Crossing (Y and Z) Program File	46159
	Rural and Special (R, A, and X) Program File	46160
	Urban (U) Program File	46162

The RC No. listed beside each Record Type is found on the functional schedule; the Item Number is a tracking number that is used only for records that are stored at the State Records Center.

Indicates records are electronic and will transfer immediately to the custody of the State Archives

1034.A Infrastructure Inspection Records: Transfer to the State Records Center when reference value ends for immediate transfer to the custody of the Archives.

Agency	Series Title	Item Number
Department of Transportation	Special Structures File	25064

Glossary

Audit

The Society of American Archivists *Glossary of Archival and Records Terminology* defines an audit as "an independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures."[1] The North Carolina Office of the State Auditor defines three types of audits that can be performed for state agencies[2]:

- Financial Statement Audits that "determine whether an agency's financial statements are fairly presented"
- Performance/Financial Related Audits that "provide independent and objective appraisals of agency management practices and operational results"
- Information Systems Audits that "evaluate risks relevant to information systems assets and assess controls in place to reduce or mitigate these risks"

Many state agencies also have an internal auditor's office that is responsible for assessing whether agency employees, units, and business operations are in compliance with applicable federal and state laws and regulations, as well as agency policies and procedures. Some agencies are also responsible for auditing work of external organizations, including consultants and subrecipients. Agencies in receipt of funding from outside sources may be subject to audits to verify the appropriate expenditure of these funds. Audits may be performed on a routine recurring basis; they also may be prompted by concerns reported to the State Auditor's Hotline.

Historical Value

The term historical value is used interchangeably with archival value. The Society of American Archivists *Glossary of Archival and Records Terminology* defines it as "the importance or usefulness of records that justifies their continued preservation because of the enduring administrative, legal, fiscal, or evidential information they contain."[3] Two criteria for determining historical value are inherent interest and extraordinary documentation:

- Inherent interest is created by non-routine events, by the involvement of famous parties, and by compelling contexts. For instance, foreclosure proceedings from the 1930s have high historical value because they date from the era of the Great Depression.
- Extraordinary documentation is found in records that shed light on political, public, or social history. For instance, the records from the replevin case that returned the Bill of Rights to North Carolina hold more historical value than most property case files because of the political history intertwined with this case.

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[1] Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (2005)
[2] https://www.ncauditor.net/pub42/TypesOfAudits.aspx
[3] *A Glossary of Archival and Records Terminology*

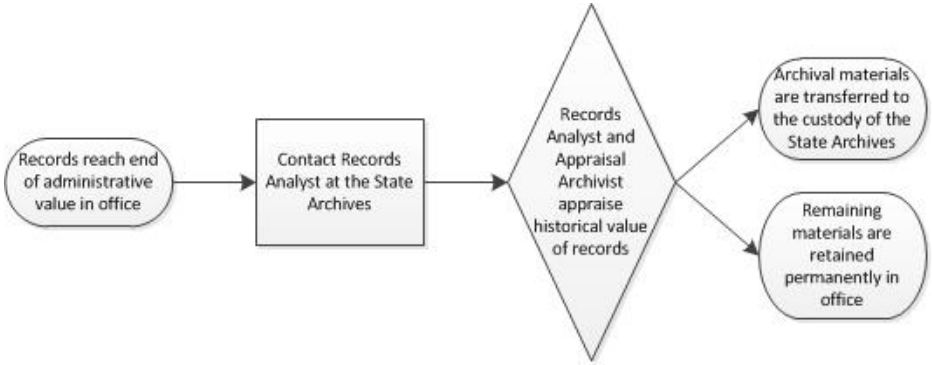
The State Archives of North Carolina (SANC) has further elaborated selection criteria that help distinguish records with archival value:

- Do they protect the rights and property of citizens?
- Do they have a long-term impact on citizens?
- Do they document the core functions of an agency?
- Do they document high-level decision-making that shapes an agency's policies or initiatives?
- Do they summarize an agency's activities?

Records with historical value are identified with one of three designations in the Disposition Instructions:

- PERMANENT: These records will be retained in office permanently.

- PERMANENT (appraisal required): When these records no longer have administrative value in office, the agency will contact the Government Records Section so the records can be appraised by a records analyst and an appraisal archivist. These individuals will determine whether the records should be retained in office permanently or transferred to the custody of the State Archives of North Carolina.



- PERMANENT (archival): These records will transfer to the State Records Center so they can be transferred to the custody of the State Archives of North Carolina.

Record Copy

A record copy is defined as "the single copy of a document, often the original, that is designated as the official copy for reference and preservation."[4] The record copy is the one whose retention and disposition is mandated by these functional schedules; all additional copies are considered reference or access copies and can be destroyed when their usefulness expires. In some cases, postings to social media may be unofficial copies of information that is captured elsewhere as a record copy (e.g., a press release about an upcoming agency event that is copied to various social media platforms). Appropriately retaining record copies and disposing of reference copies requires agencies to designate clearly what position or office is required to maintain an official record for the duration of its designated retention period. To facilitate this process, SANC has provided a sample file plan for agency use (available on the state agency records management page at

[4] Ibid.

https://archives.ncdcr.gov/documents/state-agency-rm). In identified cases where records overlap between state agencies, SANC has specified on the schedules which agency is considered the record owner.

Record Custody

The agency that creates or receives a record is the legal custodian of that record and responsibility for fulfilling any retention requirements and public records requests. If an agency transfers records to the State Records Center for temporary storage prior to destruction, those records remain in the legal custody of the originating agency. Any records requests must be authorized by the originating agency, and ultimate destruction must also be authorized by that agency. If an agency transfers archival records to the State Records Center, once those records have been accessioned by the State Archives, their legal custody transfers to the State Archives. From that point forward, all records requests should be channeled through the State Archives. In a few instances, records transfer to the State Records Center to be held in permanent security storage (indicated by a © on the functional schedule); in these cases, the records remain in the legal custody of the originating agency.

Reference Value

The disposition instruction to destroy in office when reference value ends is usually applied to records that were not created by the recipient. Reference files include materials that have no regulatory authority for the recipient and are received from outside the agency or from other units within the agency; subject files containing informational copies of records organized by areas of interest; and reference copies of records where another individual or agency is responsible for maintaining the record copy. The agency is given the discretion to determine how long these records should be retained before destruction, and this decision should be documented in a file plan or other policy so that all members of the agency can be consistent in their handling of these records.

Transitory Records

Transitory records are defined as "record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use."[5] North Carolina has a broad definition of public records. However, the Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called "transitory records." They may be disposed of according to the guidance below. However, all public employees should be familiar with the *Functional Schedule for North Carolina State Agencies* and any other applicable guidelines for their office. If there is a required retention period for these records, that requirement must be followed. When in doubt about whether a record is transitory or whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

[5] Ibid.

Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed. Similarly, "while you were out" slips, memory aids, and other records requesting follow-up actions (including voicemails and calendar invites) have minimal value once the official action these records are supporting has been completed and documented. These records may be destroyed or otherwise disposed of once the action has been resolved.

Drafts and working papers, including notes and calculations, are materials gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved and may be destroyed after final approval if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents that may be destroyed after final approval include:

- Drafts and working papers for internal and external policies
- Drafts and working papers for internal administrative reports, such as daily and monthly activity reports;
- Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
- Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Forms used solely to create, update, or modify records in an electronic medium may be destroyed in office after completion of data entry and after all verification and quality control procedures, as long as these records are not required for audit or legal purposes. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g., a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

Key

– symbol designating that records in this series may be confidential or may include confidential information

RC No. – a unique identifying number assigned to each record type for ease of reference

Function No.	Sub-function No.	Record Type No.	Retention Abbreviation
15	4	5	A

The example above indicates the numbering scheme for Speeches (1545.A):

- Public Relations is the 15th function
- Marketing and Publicity is the 4th sub-function under Public Relations
- Speeches are the 5th record type under Marketing and Publicity
- Retention abbreviations provide a quick method of identifying the retention requirement for a particular record:

A	transfer to the State Archives
P	retain in office permanently or contact the State Archives for appraisal
R	destroy in office when reference value ends *(NOTE: Agencies must establish internal policies to ensure consistency in retention and destructions.)*
S	destroy in office when superseded or obsolete
T	transfer completed record to another record series
<	retention period shorter than 1 year
	any numerical designation indicates the number of years the record should be retained

Record Types – groupings of records that are "created, received, or used in the same activity."[1]

Description – a description of the records, often including the types of records that can be frequently found in that series

Disposition Instructions – instructions dictating the length of time a series must be retained, and how the office should dispose of those records after that time (either by destruction or transfer to the State Archives). For any records that will transfer to the State Records

[1] Richard Pearce-Moses, *A Glossary of Archival and Records Terminology* (2005)

Center, either for temporary storage or for transfer to the State Archives, consult the Appendix for the item number that is necessary to track these records. ***Note***: No destruction of records may take place if litigation or audits are pending or reasonably anticipated.

This border on the right and left of the Description and Disposition Instruction cells indicates a record that belongs to a particular agency, as identified in the Description. If other agencies possess copies of this record, they are reference copies that can be discarded when their reference value ends.

Citation – a listing of references to statutes, laws, and codes related to the records series. Citations can include Authorities (governing the creation of records), Confidentiality (limiting access to public records), and Retention (setting a retention period).

- CFR = citation from the Code of Federal Regulations
- G.S. = citation from the North Carolina General Statutes
- USC = citation from the United States Code

The Disposition Instructions include a number of triggers that begin the retention period:

- Adoption of plan: With a record such as a strategic plan, the retention period begins as soon as the plan is adopted by the governing body.
- Closed: With a record such as an investigation, the retention period begins once the case is closed.
- Complete: With a record such as a report, the retention period begins once the report has been finalized.
- Execution of plan: With a record such as a business plan, the retention period begins once the plan has been carried out.
- Reference value ends: Once the content of a record is no longer useful or significant, it can be destroyed. This disposition is usually applied to records that were not created by the agency.
- Service ends: With a record relating to an elected or appointed office, the retention period begins once the term of service ends.
- Superseded or Obsolete: With any record that is produced in versions, an older version can be destroyed when the new version is received.

Several symbols are used within the disposition instructions:

∞ archival records that should transfer to the State Archives for permanent retention

archival records that will transfer to the State Archives in an electronic format

Ω records that transfer to the State Records Center for temporary storage before destruction

© records that transfer to the State Records Center for permanent security storage